

# FRAGILE STATES IN A GLOBALIZED WORLD

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## BIOGRAPHY

Julien Serre is a Consultant and was Head of Planning and Integration at the UN peacekeeping mission in Mali, focusing on development and humanitarian activities. Previously, he worked at the European Investment Bank for operations outside the European Union and the United Nations on Financing for Development and Peacebuilding. He was trained at ESSEC Business School, Sciences-Po and the Harvard Kennedy School.

## COURSE OUTLINE

### Part I – Failing Globalization / Root Causes of Fragility

#### Session I - An Introduction: Why are Fragile States Left Behind?

##### Defining and Measuring Fragility

- Chandy Laurence (2011). "Ten Years of Fragile States: What Have We Learned?" Brookings Policy Paper 2011-12.
- Collier, Paul (2014). Fragile African States: What Should Donors Do? Ferdi, document de travail P95, mars 2014
- Jones, Bruce and Tortolani, Ben (2013). "Deep Dive on Fragile States". New York University Centre on International Cooperation.
- Logan Justin and Preble Christopher (2008). "Fixing failed states: a dissenting view". Cato Institute, The handbook on the political economy of war. p. 379.
- Mazarr Michael. The Rise and Fall of the Failed-State Paradigm. Foreign Affairs, vol. 93, issue#1, p. 113-121.
- Paris, R. (2011). 'Ordering the World: Academic Research and Policymaking on Fragile States'. International Studies Review, 13: 58-71.
- UNDP (2009). Users' Guide to Measuring Fragility. New York: United Nations Development Programme, and the German Development Institute
- Woolcock, Michael (July 2014). "Engaging with Fragile and Conflict-Affected States." HKS Faculty Research Working Paper Series RWP14-038.
- World Bank (2002). "World Bank Group Work in Low-Income Countries Under Stress: A Taskforce Report." Washington D.C.
- Look at: Fragile States Index [2015](#); World Bank Fragility Situations 2015 [list](#); EU ([DG ECHO](#)) Global Vulnerability and Crisis Assessment

## **Session II - The Institutional Lens Institutions,**

### Governance, Politics and History

- Grindle, Merilee S. (2007) "Good Enough Governance Revisited." *Development Policy Review* 25(5): 553-74.
- Keefer, P., and S. Knack (2007), "Boondoggles, Rent-seeking and Political Checks and Balances: Public Investment under Unaccountable Governments," *Review of Economics and Statistics*, 89(3), 566-572
- Glaeser Edward, La Porta Rafael, Lopez-de-Silanes Florencio, and Shleifer Andrei (2004). "Do Institutions Cause Growth?" NBER Working Paper No. 10568.
- Mehlum, H., K. Moene, and R. Torvik (2006). "Institutions and the Resource Curse", *Economic Journal*, 116, 1-20.
- Mulligan, Casey, Ricard Gil and Xavier Sala-i-Martin, (2004). "Do Democracies have Different Public Policies than Non-democracies?" *Journal of Economic Perspectives* 18:1, 51-74
- North, Douglass C., at al. (2007) "Limited Access Orders in the Developing World: A New Approach to the Problems of Development." Policy Research Working Paper Series # 4359, The World Bank, Washington DC.
- Principles for Good International Engagement in Fragile States (OECD)
- Pritchett, L., and F. de Weijer (2011). 'Fragile States: Stuck in a Capability Trap?'. Background Paper for the World Development Report 2011. Washington DC: World Bank.
- Pritchett, L., Woolcock, M. and Andrews, M. (2012) "Looking Like a State: Techniques of Persistent Failure in State Capability for Implementation". CID Working Paper No. 239. Helsinki: World Institute for Development Economic Research, UNU-WIDER.

## **Session III-The Economic Lens**

### Poverty, Inequalities, Exclusion

- Acemoglu, Daron, and James A. Robinson (2006). *Economic Origins of Dictatorship and Democracy*. New York: Cambridge University Press. (Draft: read Chapter 2 "Our Argument")
- Alesina, Alberto and Roberto Perotti (1996) .Income Distribution, Political Instability and Investment,.*European Economic Review*, 40, 1203-1225
- Bourguignon, François and Thierry Verdier (2000) .Oligarchy, democracy, inequality and growth,.*Journal of Development Economics*, 62, 285-313.
- Collier, P. and Hoeffler A. (2000). "Economic Causes of Civil Conflict and their Implications for Policy". World Bank Working Paper 16.
- Engelman, S. and K. Sokoloff. (2002). "Factor Endowments, Inequality, and Paths of Development among New World Economies," *Economia*, 3(1): 41–109.
- Fukunishi, Takahiro (2013). Political crisis and suspension of duty-free access in Madagascar: assessment of impacts on the garment industry. IDE, Japan External Trade Organization (JETRO).
- Kharas, H. and Andrew Rogerson, *Horizon 2025: Creative Destruction in the Aid Industry*, Overseas Development Institute, 2012
- Lockhart Clare and Vincent Sam, (2013). "Ending Extreme Poverty in Fragile and Conflict-affected Situations". Background Research Paper, HLP Report.
- OECD (2012). "Fragile States 2013: Resource Flows and Trends in a Shifting World". Paris: OECD/DAC International Committee on Conflict and Fragility.

## Session IV- The Environment and Resource Lens

Climate Change & Environment, Natural Resources

- AfDB, (2014). "From Fragility to Resilience: Managing Natural Resources in Fragile States in Africa", Summary Report.
- Asal, Victor, Michael Findley, James A. Piazza and James I. Walsh. 2014. "Political Exclusion, Oil and Ethnic Armed Conflict." *Journal of Conflict Resolution*. "Accepted and Forthcoming
- Hendrix Cullen S. and Noland Marcus (2013). "Confronting the Curse: The Economics and Geopolitics of Natural Resource Governance". Peterson Institute for International Economics. (Chapter 2).
- Cherif, Reda and Fuad Hasanov, 2012a, "Oil Exporters' Dilemma: How Much to Save and How Much to Invest," IMF Working Paper 12/4 (Washington: International Monetary Fund).
- Faye, M. and Sachs J. (2004). *The Challenges Facing Landlocked Developing Countries*. *Journal of Human Development* Vol. 5, No. 1.
- Frankel, Jeffrey, 2012, "The Natural Resource Curse: A Survey of Diagnoses and Some Prescriptions," Harvard University Working Paper No. 12-014 (Cambridge, MA: John F. Kennedy School of Government).
- Hamza Mohamed and Corendea Cosmin (Edited by)(2012). "Climate Change and Fragile States : Rethinking Adaptation". UNU-EHS SOURCE No.16/2012. (read up to p42).
- Olsson Ola (2003). "Conflict Diamonds". Working Papers in Economics No 86. Göteborg University
- Revenue Watch Institute (2013). "Libya profile": Resource Governance Index (RGI), Natural Resources Governance Initiative.
- Sachs, J., and Warner (2001). A. "The curse of natural resources," *European Economic Review*, 45, 827-838.
- Sachs J and Warner A (1997a). "Natural resource abundance and economic growth", CID, Harvard University
- USAID (2014). "Water and Conflict. A Toolkit for Programming". Office of Conflict Management and Mitigation in the Bureau for Democracy, Conflict and Humanitarian Assistance. (Part 1 and 2 only)
- Werz, Michael (2012). "Climate Change, Migration, and Conflict in Northwest Africa. Rising Dangers and Policy Options Across the Arc of Tension". Washington, DC: Center for American Progress.

## Part 2 – Global Security Challenges From Intervention to Transition

### Session V-Fragility Hijacked:theTerrorist Threat

When Root Causes of Fragility Remain Unaddressed?

- Chowdhury Fink Naureen (2012). "Preventing Terrorism and Conflict in Libya: an Innovative Role for the United Nations?" *Combating Terrorism Center, Sentinel* Vol 5. Issue 2. p.16.
- Chowdhury Fink Naureen, Barakat Rafia (2013). "Preventing Conflict and Terrorism: What Role for the Security Council?" Center on Global Counterterrorism Cooperation, Spring 2013.
- Cottee Matthew and Esfandiary Dina, (15 October 2014). "The very small Islamic State WMD threat". *Bulletin of the Atomic Scientists*.
- Drent Margriet, Hendriks Rob, Zandee Dick (2015). "New Threats, New EU and NATO Responses". Netherlands Institute of International Relations Clingendael, July 2015.
- EU Council (2014). "Council conclusions on implementation of the EU Strategy for Security and Development in the Sahel". Foreign Affairs Council meeting Brussels, 17 March 2014.
- ICG, (2014). « La Tunisie des frontières (II) : terrorisme et polarisation régionale ». Briefing Moyen-Orient et Afrique du Nord N°41, International Crisis Group.

- Patrick, Stewart (2006). "Weak States and Global Threats: Fact or Fiction?" by The Center for Strategic and International Studies and the Massachusetts Institute of Technology.
- Piazza, James A (2008). "Incubators of Terror: Do Failed and Failing States Promotes Transnational Terrorism?" International Studies Quarterly Vol #52: 469-488.
- Sahel Region Capacity Building Working Group, Global Counterterrorism Forum (GCTF)
- Schwartz Matthew, (2012). "Criminal Justice and Rule of Law Capacity Building to Counter Terrorism in Fragile Institutional Contexts: Lessons From Development Cooperation". CGCC, Policy Brief.
- Serre, Julien (2012). « Aid and the fight against terrorism ». Politique étrangère, vol. 77, n° 4, Winter 2012.

## Session VI-From Preventive Diplomacy to Interventions

An illustration with NATO's intervention to Libya.

- Baker, Pauline (2011). Book review of "Weak Links: Fragile States, Global Threats, and International Security". PRISM 3, no. 1.
- Bourrat, Fabian - Razoux, Pierre (sous la direction de) (2013). « Réflexions sur la crise libyenne » « L'impact de la crise libyenne sur les autres pays du Maghreb ». IRSEM, Etudes n.27.p38.
- Daalder Ivo H., and Stavridis James G., Dean, The Fletcher School (March / April 2012). "NATO's Victory in Libya: The Right Way to Run an Intervention". Foreign Affairs.
- Fishstein Paul, (2010). "Winning Hearts and Minds? Examining the Relationship between Aid and Security in Afghanistan's Balkh Province". Feinstein International Center. (read executive summary only)
- Gleason-Roberts Megan (2012). Strategic Summary 2012, Annual Review of Global Peace Operations. Center for International Cooperation, Lynne Rienner.
- Grygiel Jakub, July/August (2009). "Vacuum Wars: The Coming Competition Over Failed States", The American Interest, p. 40-45.
- Kaplan, R (1994). "The Coming Anarchy: How scarcity, crime, overpopulation, tribalism, and disease are rapidly destroying the social fabric of our planet". Atlantic Monthly, February 1994.
- Rice, Susan, (2003). "The New National Security Strategy: Focus on Failed States". Brookings Policy Brief Series | # 116 of 186.
- United Nations Peacekeeping Operations Principles and Guidelines. United Nations Department of Peacekeeping Operations Department of Field Support (Chapter 1 and 2 only).

## Session VII-Peacebuilding and State building

Is the International Community Delivering?

- Barma, Naazneen H., Elisabeth Huybens, and Lorena Viñuela (2014). "Institutions Taking Root: Building State Capacity in Challenging Contexts". Washington, DC: World Bank (read overview)
- Boyce, J. K. (2008). "Post-Conflict Recovery: Resource Mobilization and Peacebuilding," Political Economy Research Institute (PERI), Working Paper Series, No. 159, PERI, University of Massachusetts, Amherst.
- Call Charles T. (2008). "Building States to Build Peace? A critical analysis". Journal of Peacebuilding and Development Vol.4 n.2 p.60.
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- Collier, P., and A. Hoeffler (2009). "Testing the neocon agenda: democracy in resource-rich societies", European Economic Review, 53, 293-308
- Cordaid, (2010). "Gender-responsive Peace & State-building: Transforming the Culture of Power in Fragile States".
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- Evans, Derek (2009). "Human Rights and State Fragility: Conceptual Foundations and Strategic Directions for State-Building". *Journal of Human Rights Practice* Vol 1 | Number 2 | 2009.
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- Jones, Bruce, et al. (2008). "From Fragility to Resilience: Concepts and Dilemmas of State Building in Fragile Situations." Joint study by the Center on International Cooperation at New York University and the International Peace Academy, prepared for OECD DAC Fragile States Group
- Larson, G., P. Ajak, and L. Pritchett (2013). 'South Sudan's Capability Trap: Building a State with Disruptive Innovation' WIDER Working Paper No 2013/120. Helsinki: UNU-WIDER
- OECD. *Contracting out government functions and services in post-conflict and fragile situations* (OECD Handbook)
- United Nations (2010). « Second Generation Disarmament, Demobilization and Reintegration Practices. A Contribution to the New Horizon Discussion on Challenges and Opportunities for UN Peacekeeping ». (read executive summary only).
- Serre, Julien (2008). "Mapping of Resources and Gaps for Peacebuilding in the Central African Republic". UN PBSO, 2008.
- De Weijer, F. (2013). 'A Capable State in Afghanistan: A Building without a Foundation?'. WIDER Working Paper No. 2013/063. Helsinki: UNU-WIDER.

## **Session VIII-Aid and its limits**

### Role of Official Development Assistance, Importance of International Financial Institutions

- Birdsall, N. (2007), "Do No Harm: Aid, Weak Institutions and the Missing Middle in Africa", Center for Global Development
- Burnside C and D Dollar (1997). "Aid, Policies, and Growth." *The World Bank Policy Research Working Paper Series*, 1777: 847-868.
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- DFID – 2010. Chapman, N., and C. Vaillant. 2010. *Synthesis of DFID Country Program Evaluations Conducted in Fragile States*. Evaluation Report EV 709. London: U.K. Department for International Development.
- IFC – 2012. Dalberg. *Conflict Affected States in Africa Mid-Term Review*. Final Report. Washington DC: IFC
- EIB – 2013. *Banking in sub-Saharan Africa, Challenges and Opportunities*.
- IDA (International Development Association) - 2012. "Progress Report on IDA Support to Fragile and Conflict-Affected Countries." IDA17, IDA Resource Mobilization Department Concessional Finance and Global Partnerships, March 2013, World Bank Group, Washington, DC.
- IMF - 2013. *Macroeconomic and Operational Challenges in Countries in Fragile Situations*. Prepared by the Strategy, Policy, and Review Department.
- OECD – 2011. *International Engagement in Fragile States: Can't we do better?* OECD Publishing, Paris.
- World Bank - 2013. 'World Bank Group Assistance to Low-Income Fragile and Conflict Affected States: An IEG Evaluation' Washington, DC: World Bank, Independent Evaluation Group.

## Part 3– Seizing Globalization: Building Inclusive, Sustainable and Resilient States

### Session IX–Mobilizing Domestic Resources and Human Capital

Private Sector Development, Microfinance, Entrepreneurship

- Besada Hany, (2013). “Doing Business in Fragile States: The Private Sector, Natural Resources and Conflict in Africa”. 2015 HLP Background Research Paper.
- Collier, P, (2013). “Aid as a Catalyst for Pioneer Investment”, WIDER Discussion Paper 04/2013
- Cusack Jack, Tilleard Matt (December 2013). “Investment Facilitation in Transitional and Fragile States”, Aspen Institute.
- Dudwick Nora and Srinivasan Radhika, (2013). “Creating jobs in Africa's fragile states: are value chains an answer?” Washington, DC: World Bank (read Overview).
- IFC (2009). A Rough Guide to Investment Climate Reform in Conflict-Affected Countries. Investment Climate Department International Finance Corporation.
- Keeler Rachel, Lofbom Jenny (2013). “Risky Business: Promoting Private Sector Development in Post-Conflict States”. KPMG IDAS.
- Leo Benjamin, Ramachandran Vijaya, and Thuotte Ross (2012). “Supporting Private Business Growth in African Fragile States”. CGDEV. (read chapter 4 and 5)
- Mac Sweeney Maoise. Private Sector Development in Post-Conflict Countries. A review of current literature and practice. DCED.
- Mills, Rob (2006). The Investment Climate in Post-Conflict Situations. World Bank Institute, 2006.
- Porter Peschka, Mary (2011). “The role of the Private Sector in Fragile and Conflict-Affected States”. World Development Report 2011, Background Paper.
- World Bank (2013). Financing for Development post-2015. World Bank Group.
- World Bank. “Tackling Gender Disparities in Fragile and Conflict Affected States”. ‘World Bank Group Assistance to Low-Income Fragile and Conflict Affected States: An IEG Evaluation’ Washington, DC: World Bank, Independent Evaluation Group (read only ch7 WB IEG).

### Session X–International Public and Private Finance

Attracting International Investors for Infrastructure, Reconstruction and Trade

- AfDB, (2014). “From Fragility to Resilience: Managing Natural Resources in Fragile States in Africa”, Summary Report.
- Araya G., J. Schwarz, (2013). “Risky Business”, Handshake #9 IFC (pp.43-46)
- Baird, Mark (2011). “Service Delivery in Fragile and Conflict-Affected States”. Washington, DC: World Bank (mainly the summary of main conclusions)
- Cali, Massimiliano. 2014. Trading away from conflict : using trade to increase resilience in fragile states. Directions in development ; trade. Washington, DC : World Bank Group (read Chapter 3)
- Delmon J., (2013). “Which Post-Conflict PPPs?”, Handshake #9, IFC (pp.10-12)
- Drummond Paulo and Xue Liu Estelle, (2013). “ Africa’s Rising Exposure to China: How Large Are Spillovers through Trade?” IMF Working Papers WP/13/250.
- McKinsey Global Institute (MGI) (2013). “Reverse the curse: Maximizing the potential of resource-driven economies”
- OECD (2008). “Service Delivery In Fragile Situations”. OECD DAC Discussion Paper. Journal on Development 2008, volume 9, N° 3.
- World Bank, Chad-Cameroon Petroleum Development Project Programme Performance Assessment report
- Sun Yun, (2014). “Africa in China's Foreign Policy”. Brookings papers.

## **Session XI-Building Sustainability**

Public Financial Management, Fiscal Policy and Natural Resource Management

- Berg, Andrew, Rafael Portillo, Chu-Shun S. Yang, and Luis Felipe Zanna(2012).“Public Investment in Resource Abundant Low-Income Countries”.forthcoming; Washington: International Monetary Fund.
- Bhattacharyya, S. and P. Collier (2013). “The Public Capital Stock: Is there a Resource Curse? “ Oxford Economic Papers.
- Byrd, William & Stephane Guimbert (2009). “Public Finance, Security and Development: A Framework and an Application to Afghanistan”. World Bank Policy Research Working Paper No. 4806, January 2009.
- Dabán Sánchez, Teresa and Jean-Luc Hélys (2010), “A Public Financial Management Framework for Resource-Producing Countries,” IMF Working Paper 10/72. Washington: International Monetary Fund.
- Gillies Alexandra, Heuty Antoine (2011). “Does Transparency Work? The Challenges of Measurement and Effectiveness in Resource Rich Countries”. Yale Journal of International Affairs, September 2011
- Harvey Paul (2009). “Social Protection in Fragile States: Lessons Learned”. Overseas Development Institute.
- Heuty Antoine (2012). “The Role of Transparency and Civil Society in Managing Commodities for Inclusive Growth and Development”. Commodity Price Shocks and Inclusive Growth in Low-Income Countries eds Arezki, A., C.Pattillo, M. Quintyn and M. Zhu – International Monetary Fund. Washington, D.C. October 2012.
- International Monetary Fund (2012). Macroeconomic Policy Frameworks for Resource-Rich Developing Countries, IMF, Washington, DC.
- Lind Petersen Birgitte (2013). “Against the odds: A few insights from successful capacity development in fragile situations”. DIIS Policy Brief, November 2013.
- Mastui, Elena and Winthrop, Rebecca (2013). “A new agenda for education in Fragile States”. Brookings Center for Universal Education Working Paper 10.
- OECD (2008), “Taxation, Statebuilding and Aid”, Factsheet.
- Rajaram, Anand, Tuan Minh Le, Nataliya Biletska, and Jim Brumby (2010). “A Diagnostic Framework for Assessing Public Investment Management”, World Bank Policy Research Working Paper No. 5397 Washington: World Bank.
- van der Ploeg, F., and A.J. Venables (2011). "Harnessing windfall revenues; optimal policies for developing economies", Economic Journal 121, 1-30 (read introduction only).
- World Bank (2012). “Beyond the Curse: Policies to Harness the Power of Natural Resources”. Washington: World Bank. (read p.237-256)

## **Session XII-Final Course**

Class Discussion on Success Stories Career Prospects