

**THE NATIONAL WAR COLLEGE
WASHINGTON, DC 20319-5078**



**FRAGILE STATES, DEVELOPMENT AND
NATIONAL SECURITY
ELECTIVE COURSE 6067**

**SYLLABUS
FALL 2015**

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**Elective Course 6067
Fall 2015**

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6067 COURSE SCHEDULE

Topic	Subject	Date
1	<i>What's the Problem and Why Should We Care?</i>	23 Sep
2	<i>What Makes States Fragile and What Can We Do About It?</i>	30 Sep
3	<i>The Debate over Foreign Assistance and the International Perspective</i>	7 Oct
4	<i>The US Role: From the Marshall Plan to the Global Development Lab</i>	14 Oct
5	<i>How Does the Rest of the World Do Aid?</i>	21 Oct
6	<i>The Case for Economic Growth and Infrastructure</i>	28 Oct
7	<i>A Broader Case for Development: Basic Human Needs, Health and Education, Human Capital and Institution Building</i>	4 Nov
8*	<i>Political Transition, Democracy and Governance</i>	12 Nov
9	<i>Humanitarian Assistance: Tsunami, Haiti and Ebola</i>	18 Nov
10	<i>Conflict, Post-Conflict, Stabilization and Countering Violent Extremism</i>	2 Dec
11	<i>US Development Policy</i>	9 Dec
12	<i>Wrapping It Up: Next Steps, Conclusions and Recommendations</i>	16 Dec

*Class on Thursday due to Veteran's Day Holiday.

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COURSE OVERVIEW

Purpose and Objectives: This course introduces the concept of development as a national interest and looks at approaches towards achieving it. It examines the debate over modernization and efforts to encourage it, the challenges of fragile and failing states and past efforts and theories trying to address them. It looks at the role that development and the agencies seeking to provide development assistance play in formulating and implementing national security policy.

Discussion: Violent extremism, global pandemics, inter-ethnic conflict, human rights abuses, deep poverty, millions of people uprooted from their homes and forced on the move — the threats to national and global security coming from fragile states are many and appear to be multiplying. To what extent should we be concerned and what can or should we do about bad governance, corruption, inadequate institutions and abuse of populations in weak states? Many, including John Kerry, Robert Gates and Hillary Clinton, have argued that development is the “third pillar of national security,” together with defense and diplomacy. But really what are our tools for development, what are their strengths and limitations, and how can they best be used?

This course explores development assistance as a tool of foreign policy. It looks at the debate over development and modernization and the use of foreign aid to promote change. We will look at fragile states, the causes of fragility and the players — bilateral and international donors, philanthropic institutions and non-government organizations — involved in trying to address the challenges they pose. The course will discuss approaches to development and the use of aid for humanitarian assistance, economic growth, health and education, and the uphill struggle in conflict and post-conflict stabilization, recovery and state-building.

We’ll be touching on a wide range of topics from theories of economic growth to methods of identifying causes of state fragility. We’ll look at assistance efforts from the Marshall Plan and Vietnam to recovery after Haiti’s earthquake and countering Boko Haram. Students will research topics for short presentations in class and will prepare a five-page paper critiquing past aid efforts, theories or approaches and providing recommendations for future programs. Texts include Francis Fukuyama’s Nation Building and Roger Riddell’s Does Foreign Aid Really Work?

Course Objectives:

- Gain an understanding of the underlying causes of state weakness, fragility and failure.
- Review the threats and opportunities involving national security growing out of state fragility.
- Examine the theories surrounding development and reviewed the debate over approaches to spur growth and strengthen institutions involved in modernization.
- Evaluate approaches to development and institutions involved in implementing development assistance.

Course Design: The course will provide an overview of major challenges involved in development, the roots of those challenges and implications for US interests. It will look at a range of approaches, bilateral and multilateral, and the organizations, agencies, and institutions involved in delivering development assistance.

The course will include presentations, guest speakers, seminar discussion, and readings.

STUDENT REQUIREMENTS

Students will be assessed based on the following:

- Active participation in class (50 percent)
- Class presentations (20 percent)
- A five-eight page paper analyzing a development issue and proposing approaches to increasing the effectiveness of development assistance, as approved by instructor NLT October 28; (30 percent)

Required Readings: Each student has been issued:

Paul Collier, The Bottom Billion (Oxford, 2007). [This book will also be used in 6500.]

Francis Fukuyama, Nation-Building, Johns Hopkins University Press, 2006

Roger Riddell, Does Foreign Aid Really Work, Oxford University Press, 2007.

Readings will come from these books and from articles accessed through web links or the shared drive.

Websites helpful for research:

- Center for Global Development: <http://www.cgdev.org/page/white-house-and-world>.
- Devex International Development: <https://www.devex.com/>
- State Department: <http://www.state.gov/>;
- USAID: <http://www.usaid.gov/>;
- CIA: <https://www.cia.gov/library/publications/the-world-factbook/>
- Fragile States Index:
http://www.foreignpolicy.com/articles/2011/06/17/2011_failed_states_index_interactive_map_and_rankings;
- Transparency International: <http://www.transparency.org/publications/gcr>;
- Freedom House: <http://www.freedomhouse.org/template.cfm?page=594>;
- Mo Ibrahim Index on Governance: <http://www.moibrahimfoundation.org/en/section/the-ibrahim-index>;
- UN Human Development Index: <http://hdr.undp.org/en/statistics/hdi/>.
- Center for Strategic and International Studies: Brookings Institution.
- Carnegie Endowment for International Peace:
<http://carnegieendowment.org/regions/?fa=223>.

- Council on Foreign Relations:

NDU ASSESSMENT POLICY

Students must demonstrate mastery of the stated course objectives to pass this course. The following grading scale will be followed:

Letter Grade	Descriptor	Grade Points
A	Exceptional Quality	4.00
A-	Superior Quality	3.70
B+	High Quality	3.30
B	Expected/Acceptable Quality	3.00
B-	Below Expected Quality	2.70
C	Unsatisfactory Quality	2.00
P	Pass	0.00
F	Fail/Unacceptable Quality	0.00
I	Incomplete	0.00

Students who fail to complete all course requirements in the time allotted will receive an overall grade of Incomplete (I). All incompletes must be completed according to the time frame agreed upon with the course director. Incompletes that remain unresolved at graduation revert to a grade of Fail (F).

A student who does not sufficiently meet course objectives as indicated by overall performance on course assessments will receive a grade of Unsatisfactory (C). In this case, the student will enter remediation to conduct additional study and raise his/her performance to an acceptable level. If a student refuses remediation or fails in the process, the grade will convert to Fail (F).

All students have the right to appeal their course grades. First, within a week of the release of the grade, the student must request a review by the course director. Should this review not lead to a satisfactory resolution, the student should follow the grade appeal process established by their college's grading policy.

NDU ABSENCE POLICY

Regardless of absences, students must still meet all stated course objectives to pass the course. Thus students who have missed one or more class sessions may be required to complete compensatory assignments at the course director's discretion. Additionally, any student who has missed one or more classes and questions his/her ability to meet the course objectives regardless of compensatory work completed should ask the course director for further remedial assistance.

With the exception of absences due to required International Student Management Office (ISMO) events, any student who misses four or more sessions of a course will meet with a

faculty board that will consider whether to recommend disenrollment to the NWC Dean of Faculty and Academic Programs and the Commandant. The Board will consider both extenuating circumstances and the student's potential to meet the course objectives. The Commandant will make the final decision on the student's status.

The above policies apply equally to U.S. students, International Fellows, and students from other NDU components.

PLAGIARISM

As noted in the Statement of Academic Integrity, plagiarism is the unauthorized use, intentional or unintentional, of intellectual work of another person without providing proper credit to the author. While most commonly associated with writing, all types of scholarly work, including computer code, speeches, slides, music, scientific data and analysis, and electronic publications are not to be plagiarized. Plagiarism may be more explicitly defined as:

- Using another person's exact words without quotation marks and a footnote/endnote
- Paraphrasing another person's words without giving credit by means of footnote/endnote
- Using information from the web without giving credit by means of a footnote/endnote, even if that material is not copyrighted.

TOPIC 1
WHAT'S THE PROBLEM AND WHY SHOULD WE CARE?

Wednesday
September 23, 2015
1530-1720

Purpose and Learning Objectives: This lesson introduces the challenge of weak states, the potential for development — modernization, improved governance, and better services — to enable their governments to deal with problems of global concern, and the possibilities that assistance can contribute to transformative change.

1. Discuss development both as a tool of foreign policy and an objective of national security strategy.
2. Provide a history of efforts by the US to use development to further specific policy aims and outlines the range of problems that assistance might address.
3. Offer students an understanding of the role that development assistance plays in national security.

Discussion: There has been much debate and no small confusion over the term “development.” Some use it interchangeably with “modernization” and “progress” and see it as an objective to be sought — an end-state with institutions required to cope with a myriad of problems from poverty and conflict to violent extremism and infectious disease. Others think of “development” as assistance, a tool, to produce better governance, a stronger civil society, and more effective institutions. In both cases, development has been seen as a counter to ideological alternatives — fascism in the 1930s, communism after World War II, and, more recently, violent extremism, and foreign assistance that has grown as a tool of foreign policy.

One can date US foreign aid almost to the founding fathers — Thomas Jefferson and Thomas Paine provided intellectual support to the French Revolution, James Monroe sent four ships of flour to Venezuela after an earthquake — and aid from public and private sources has continued throughout our history. Private organizations provided aid to the Manchester mill workers during the civil war in a sign of thanks for their support of the cotton blockade. Humanitarian assistance to Russia and Eastern Europe after World War I was extensive, but it was with the Marshall Plan and the institutionalization of foreign assistance as part of a cold war strategy to fight communism that assistance became an integral part of national security strategy. Gradually, foreign assistance has grown to include a range of programs with varying objectives including: humanitarian, post-conflict stabilization, political and economic transition, nation-building, strategic support, development. With the expansion of objectives has come institutions — United States Agency for International Development (USAID), the Millennium Challenge Corporation (MCC), Overseas Private Investment Corporation (OPIC), the involvement of a variety of US government departments from Treasury to Health and Human Services, and efforts to coordinate, often under the State Department or occasionally the National Security Council (NSC). The evolution has raised questions about what foreign assistance should do, how can it

be most effective, and how should it be organized. This lesson will begin to lay the groundwork for exploration of those questions.

Key Questions:

1. What do we mean by development? Is development an objective of foreign assistance or is development assistance a tool of foreign policy?
2. What problems has development assistance tried to address? What has been its history and the theories behind it?
3. What tools has the US developed to provide assistance, for what objectives, and to what extent has development aid been seen as a part our national security strategy?

Required Reading (101 pages):

1. Francis Fukuyama, "Nation-Building and the Failure of Institutional Memory," Nation-Building, pp. 1-14, Johns Hopkins Press, 2006. (14 pages)
2. David Ekbladh, "From Consensus to Crisis, The Postwar Career of Nation-Building in US Foreign Relations," pp.19-41, Nation-Building, Francis Fukuyama, Johns Hopkins Press, 2006. (23 pages)
3. Roger C. Riddell, "The Origins and Early Decades of Aid-Giving," Does Foreign Aid Really Work, pp. 17-30 and "Aid-giving from the 1970s to the Present," pp. 31-49. Oxford University Press 2007. (33 pages)
4. Thomas Carothers, "Apolitical Roots," Development Aid Confronts Politics: The Almost Revolution, pp. 21-51, Carnegie Endowment, 2013.
<http://site.ebrary.com/lib/nationaldefense/detail.action?docID=10686598&p00=%22development+aid+confronts+politics%22>. (31 pages)

TOPIC 2

WHAT MAKES STATES FRAGILE AND WHAT CAN WE DO ABOUT IT?

Wednesday
September 30
1530-1720

Purpose and Learning Objectives: This lesson discusses the various factors that contribute to states fragility and reviews approaches to strengthen governance and deal with the challenges both encouraging fragility and resulting from it. It will help students:

1. Analyze characteristics of different types of fragile states and their implications for policymakers.
2. Identify the roles of US and international actors in addressing challenges posed by fragile states.
3. Evaluate policy options for the US in applying the concept of Responsibility to Protect in specific circumstances.

Discussion: Robert Zoellick, in a 2009 address to the International Institute for Strategic Studies as President of the World Bank, described fragile states as “a witches’ brew of ineffective government, poverty and conflict.” The UK’s Department for International Development defines them as: “those where the government cannot or will not deliver core functions to the majority of its people, including the poor.” USAID makes a distinction between what it calls “vulnerable fragile states,” states unwilling or unable to assure security and basic services and where the legitimacy of the government is in question, and “fragile states in crisis,” where central government is unable to exert effective control of its territory or unable to provide vital services and where conflict either exists or is a great risk.

There are a variety of definitions of states unable to govern, provide services, defend their territory — whether conflicted, collapsed, weak, fragile, low-income, under stress. Whatever the definition, they describe states that share, in varying degrees, a vulnerability to internal conflict and social dysfunction caused by a number of factors used by analysts such as the Fund for Development, the UN, and the World Bank to assess fragility. They include a number of the factors contributing to fragility: demographic pressures, refugees, post conflict legacy, poverty and major gaps between rich and poor, corruption and bad governance, crime, declining public services, arbitrary justice, factionalized elites.

As Zoellick said in his 2008 speech:

“When states are breaking down or overcome by conflict, they pose waves of danger. The first surge threatens the people living there: with death and disease, economic stagnation, and environmental degradation. One billion people, including about 340 million of the world’s extreme poor, are estimated to live in fragile states. These countries lag behind in meeting all of the Millennium

Development Goals. They account for about a third of the deaths in poor countries from HIV/AIDS, a third of those who lack access to clean water, and a third of children who do not complete primary school. Half of all the children who do not live to the age of five are born in fragile states. And fragile states have poverty rates averaging 54 percent, compared to 22 percent in other low income countries.

The next perilous wave undermines their neighbors with refugees; warring groups; contagious diseases; and transnational criminal networks that traffic in drugs, arms, and people. As we have seen in recent years in South Asia and Africa, fragile states can create fragile regions. It is much harder for economies to prosper if they cannot sell to, buy from, invest with, and even transit their neighbors. Landlocked countries with failed or failing neighbors can lose access to the world economy and, as the world witnessed with September 11, broken states can be the weak link in the global security chain if they are infiltrated by terrorists who recruit, train, and prosper amidst devastation.”

Key Questions:

1. What defines a fragile state? What are the different indices that have been developed to categorize fragile states?
2. Why do we care about fragile states? What is the relationship between fragile states and terrorism, violent extremism, pandemics, ethnic conflicts and gross human rights abuses?
3. Do fragile states pose a threat to national security? Have we moved beyond the “failed state paradigm?”
4. What are the consequences of being categorized a fragile state? How do states move out of the fragile state category and to what extent can development assistance help them to do so?

Required Readings (77 pages):

1. “Fragile States Index 2015, Fund for Peace,” <http://foreignpolicy.com/2015/06/17/fragile-states-2015-islamic-state-ebola-ukraine-russia-ferguson/>. (6 pages)
2. Robert Zoellick, International Institute for Strategic Studies, September 12, 2009, <http://www.cfr.org/fragile-or-failed-states/zoellicks-speech-international-institute-strategic-studies-fragile-states-securing-development/p17228>. (6 pages)
3. Paul Collier, “Falling Behind and Falling Apart: The Bottom Billion,” Chapter 1, pp. 4-13, and Chapter 7, “Aid to the Rescue,” pp. 99-123, The Bottom Billion, Oxford University Press, 2007. (35 pages)
4. Quadrennial Diplomacy and Development Review 2015, “Enduring Leadership in a

Dynamic World,”

<http://www.usaid.gov/sites/default/files/documents/1870/QDDR2015.pdf>. pp. 21-27 (7 pages).

5. Michael Mazarr, “The Rise and Fall of the Failed State Paradigm,” *Foreign Affairs* January/February 2014, <https://www.foreignaffairs.com/articles/2013-12-06/rise-and-fall-failed-state-paradigm>. (8 pages)

6. T.V. Paul, “The Failed State Paradigm: A Response to Mazarr,” March 1, 2014, <http://www.e-ir.info/2014/03/01/the-failed-state-paradigm-and-the-us-foreign-policy-a-response/>. (3 pages)

7. White House Fact Sheet, A Comprehensive Strategy and New Tools to Prevent and Respond to Atrocities, April 23, 2012: <https://www.whitehouse.gov/the-press-office/2012/04/23/fact-sheet-comprehensive-strategy-and-new-tools-prevent-and-respond-atro>. (4 pages)

Supplementary Reading:

1. Daron Acemoglu, “Theories That Don’t Work,” *Why Nations Fail*, pp. 45-70. (blackboard)

2. Stewart Patrick, “Weak States and Global Threats: Fact or Fiction?” *Washington Quarterly* (2006), pp. 27-49. http://www.cgdev.org/files/7034_file_06spring_patrickTWQ.pdf. (28 pages)

3. Paul Collier, “*Why Nations Fail* by Daron Acemoglu and James Robinson – a Review,” *The Guardian*, March 10, 2012. <http://www.theguardian.com/books/2012/mar/11/why-nations-fail-acemoglu-robinson-review>.

4. Jeffrey Sachs. “Government, Geography and Growth,” (review of Acemoglu & Robinson, *Why Nations Fail*). *Foreign Affairs* 91(5), Sep/Oct 2012: pp. 142-150. (9 pages)
<https://nduezproxy.idm.oclc.org/login?url=https://search.ebscohost.com/login.aspx?direct=true&db=aph&AN=78859925&site=ehost-live&scope=site>

TOPIC 3
THE INTERNATIONAL PERSPECTIVE
AND THE DEBATE OVER FOREIGN ASSISTANCE

Wednesday
October 7
1530-1720

Purpose and learning objectives: This lesson introduces a number of debates over development and foreign assistance. It includes discussion of contentious differences of opinion over how best to get development and the role that foreign assistance.

1. Provide background on the role of multilateral institutions and ongoing efforts to build an international consensus on development.
2. Describe the international framework for foreign assistance.

Discussion: There's no end of debate over development, its purposes and ways to encourage it. Early multilateral discussion of the need for global cooperation on development programs began in 1944 during World War II in New Hampshire at Bretton Woods and led to the establishment of the International Monetary Fund and International Bank for Reconstruction and Development which later evolved into the World Bank Group. In 1960, the Organization for Economic Co-Operation and Development (OECD), now including some 34 countries supporting democracy and market economics, was formed from what had been the organization established to help administer the Marshall Plan. It in turn, established a Development Assistance Committee (the DAC) as a forum for discussion on foreign aid, development and alleviation of poverty. Working with UN organizations and the donor community, the DAC has sought to create a body of standards, principles, and approaches for foreign aid — including target country levels, transparency in reporting, greater flexibility in aid to promote purchases and employment in the countries being aided, improved effectiveness in aid delivery, “harmonization,” of aid policies and practices among aid donors.

At the same time, the United Nations has played an active role in encouraging development, coordinating the summit in 2000 that led to the adoption of a declaration by 189 member states and a variety of international organizations to achieve 15 Millennium Development Goals by 2015, including reaching targets to reduce extreme poverty and hunger, increase universal primary education, promote gender equality, reduce child mortality, improve maternal health, combat disease, improve the environment and encourage global cooperation on development. Since 2012, the UN has hosted a working group on “Sustainable Development Goals” to develop targets to replace the MDGs.

Despite these efforts, wide gaps between developed and developing countries remain and there continues to be skepticism as to the impact that international efforts can have. Some critics such as Dembisa Moyo stress the negative aspects of foreign aid and argue that development is best left to the private sector. Jeffrey Sachs maintains that a lack of commitment from the west, both money and technical assistance, is the critical constraint. Private philanthropists like Bill Gates

and entertainers like Bono have emphasized the importance of new approaches, more funding, research, technology, and investment.

Key Questions:

1. What are the key international institutions affecting the practice of development and how have they evolved?
2. How useful are efforts like those of the UN and the DAC in coordinating multilateral assistance and improving practices?
3. What has been the effect of the Multilateral Development Goals and what might come out of setting Sustainable Development Goals?
4. What are the key criticisms of foreign aid, both bilateral and multilateral?

Required Readings (90 pages):

1. "The Complexities of Multilateral Aid," Riddell, pp. 76-88. (13 pages)
2. UN, The Millennium Development Goals Report, 2015, pp. 4-9.
http://www.un.org/millenniumgoals/2015_MDG_Report/pdf/MDG%202015%20rev%20%28July%201%29.pdf. (6 pages)
3. John W. McArthur, "The Origins of the Millennium Development Goals," *SAIS Review of International Affairs*, Summer/Fall, (2014)
<http://search.proquest.com/docview/1638910710/B09444B786D3402BPQ/2?accountid=12686>. (7 pages)
4. Dr. Heloise Weber, "When Goals Collide: Politics of the MDGs and the Post-2015 Sustainable Development Goals Agenda."
<http://search.proquest.com/docview/1638910631/2C2CE67ED5514EADPQ/12?accountid=12686>. (5 pages)
5. Arielle John, and Virgil Henry Storr, "Can the West Help the Rest? A Review essay of Sachs' *End of Poverty* and Easterly's *The White man's burden*" (review), *Journal of Private Enterprise* 25(1), Fall 2009: pp. 125-140
<http://search.proquest.com.nduezproxy.idm.oclc.org/docview/215107886?accountid=12686>. (16 pages)
6. Raymond F. Mikesell, "Bretton Woods – Original Intentions and Current Problems," *Contemporary Economic Policy* 18(4), Oct 2000: pp. 404-414.
<http://search.proquest.com.nduezproxy.idm.oclc.org/docview/274241690?accountid=12686>. (11 pages)

7. John W. McArthur, "The Origins of the Millennium Development Goals," *SAIS Review of International Affairs, Summer/Fall*, (2014)
<http://search.proquest.com/docview/1638910710/B09444B786D3402BPQ/2?accountid=12686>. (7 pages)
8. William Easterly, Review of Dambisa Moyo's book, *Dead Aid*, unpublished, June 2009.
<https://williameasterly.files.wordpress.com/2011/07/moyoreviewforlrbjune2009neverpublished.pdf>. (12 pages)
9. Dambisa Moyo and Paddy Ashdown. "Does Aid Work?" *New Statesman* 141(5111), June 25, 2012: pp. 24-29.
<http://search.proquest.com.nduezproxy.idm.oclc.org/docview/1022297144?accountid=12686> (6 pages)
10. "Bill Gates and Dambisa Moyo, "Spat Obscures the Real Aid Debate," *The Guardian*, May 13, 2013. <http://www.theguardian.com/global-development/poverty-matters/2013/may/31/bill-gates-dambisa-moyo-aid> (2 pages)

TOPIC 4
US ROLE: FROM THE MARSHALL PLAN TO USAID FORWARD AND THE
GLOBAL DEVELOPMENT LAB

Wednesday
October 14
1530-1720

Purpose and learning objectives: The intent of this topic is to give students a historical perspective on the development of USG development and humanitarian assistance. The session will:

1. Review approaches to development as a Tool for transformation and the role that foreign assistance has played in US foreign policy.
2. Highlight the differences and connections between the development, humanitarian and political sides of the enterprise, and explore how various objectives affect the development and implementation of programs.
3. Introduce on the range of tools that the USG uses to accomplish its purposes, looking through a historical lens and reviewing the positives and negatives of the various instruments, including the proliferation of institutions within the USG that do economic development, humanitarian and assistance.
4. Provide an understanding of the assistance bureaucracy and its implications for the effectiveness of assistance programs in support of national policy.

Discussion: A major problem afflicting effective development assistance has been the lack of agreement on specific objectives and on ways to deliver aid to meet them. The success of the Marshall Plan, where ends, ways and means came together in the rebuilding of Europe, set a standard no succeeding program has been able to match. Policy-makers have shifted between and among objectives. From reconstruction to long-term economic growth and institution-building, from humanitarian relief to transformation of political systems. Governments and multilateral institutions have shifted approaches from centralized orchestration of aid to decentralized decision-making and greater field authority — and they have shifted back again. New players — international philanthropies, universities, foundations, private contractors, diaspora associations—have developed their own programs. New technologies have opened up new possibilities for development programs. Within the US, authorities and responsibilities for development programs have shifted between agencies. The development world has been fluid. This lessons looks at how the environment for development programming has changed since the Marshall Plan.

Key Questions:

1. How has the U.S. role in development evolved since the Marshall Plan?

2. What has been the debate over the various approaches to, and uses of, foreign assistance?
3. Is the present interagency system of development responsive to the challenges presented?

Required Readings (103 pages)

1. John Norris, "USAID: A History of US Foreign Aid," Devex, Washington DC, July 2014. <http://www.modernizeaid.net/2014/07/31/new-devex-site-explores-history-of-u-s-foreign-aid/>. (20 pages)
2. Curt Tarnhoff, "US Agency for International Development (USAID): Background, Operations and Issues," Congressional Research Service, July 21, 2015, pp.1-62. <http://www.fas.org/sgp/crs/row/R44117.pdf>. (62 pages)
3. "US Foreign Aid, Meeting the Challenges of the Twenty-First Century," USAID, January 2004, pp. 5-23. <https://pegasus.cc.ucf.edu/~gurney/ForAidWhtPap.pdf>. (19 pages)
4. USAID Website: <https://www.usaid.gov/>. (1 page)
5. Millennium Challenge Corporation website: <https://www.mcc.gov/>. (1 pages)

TOPIC 5
HOW DOES THE REST OF THE WORLD DO AID?

Wednesday
October 21
1530-1720

Purpose and Learning Objectives: The purpose of this lesson is to review the variety of approaches to assistance followed by a remarkable array of donors, from donor countries providing bilateral aid to philanthropies to non-government organizations (NGOs) and civil society. The objectives include:

1. To provide a broader view of the international context in which US foreign aid operates;
2. To analyze the opportunities for collaboration and competition that context affords.

Discussion: In his book, Does Foreign Aid Really Work, Roger Riddell makes the point that “the world of aid is not a single unified system.” There’s no masterplan. There are many approaches to design and deliver assistance and a variety of efforts both institutional and informal, to coordinate them. This lesson reviews a range of assistance, bilateral, multilateral, and private.

Key Questions:

1. How do approaches to foreign aid, practices and rationale differ between countries, private philanthropies and non-governmental organizations?
2. How are practices changing? What new norms are developing?
3. With the rise of new donors — like China and India — what are the opportunities for greater collaboration and what are the dangers of competition?

Required Reading (85 pages):

1. Riddell, Chapter 4, “The Growing Web of Bilateral Aid Donors,” pp. 51-76. Chapter 16, “NGOs in Development and the Impact of Discrete NGO Development Interventions,” pp. 259-286. (53 pages)
2. “The Index of Global Philanthropy and Remittances, 2013,” Hudson Institute, pp. 6-32, http://www.hudson.org/content/researchattachments/attachment/1229/2013_indexof_global_philanthropyand_remittances.pdf. (26 pages)
3. “Summary,” *China’s Foreign Aid and Government-Sponsored Investment Activities*, Rand, Washington DC, 2013, pp. xi-xvi. http://www.rand.org/content/dam/rand/pubs/research_reports/RR100/RR118/RAND_RR118.pdf

(6 pages)

Supplementary Reading

1. “The Wider Impact of Non-Government and Civil Society Organizations,” Riddell, pp. 285-310. (36 pages)

2. OECD Development Advisory Committee Website: <http://www.oecd.org/dac/>.

TOPIC 6 THE CASE FOR ECONOMIC GROWTH AND INFRASTRUCTURE

Wednesday
October 28
1530-1720

Purpose and Objectives: In this session, we will discuss the definitions and components of economic growth, the conditions that make for relatively successful economic growth, and the pivotal role played by infrastructure in securing and sustaining economic growth. The objectives:

1. To provide an overview of the debate over approaches to economic growth;
2. To examine the factors affecting economic growth, the possibilities for foreign assistance, and the success of efforts to use infrastructure as a means of getting economic growth.

Discussion: The 20th century saw the development of the radio, automobile, airplane, television, rockets, submarines, nuclear power, antibiotics, personal computers and the internet. It saw the Russian and Chinese revolutions, creation of the atom bomb and the B-2 bomber, man walk on the moon, and unprecedented economic growth. It also saw devastating, dehumanizing violence from beginning to end. Theoreticians and academics, politicians and practitioners all sought to understand our world better, to learn from the scientific approaches and advances as well as from the violence of global wars to create a better, brighter future. “Better things for better living ... through chemistry,” and the subsequent “miracles of science,” were not just du Pont advertising slogans, they defined the ethos of the West for the entire century.

The quest for knowledge, understanding, and experimentation carried into the economic and institutional worlds as well, as people sought to understand concepts of wealth and poverty and their impact on welfare and warfare. A body of economic thought developed around the idea of prescribing the conditions and components of economic growth, and experiments (the Marshall Plan) and institutions (the Bretton Woods institutions of the World Bank — formed as the International Bank for Reconstruction and Development with subsequent additions and modifications — and the International Monetary Fund) were founded. One underlying belief of this institutional development was that if certain economic conditions were met and institutions nurtured, economic growth would occur. Moreover, at the beginning, the thought prevailed that growth was linear — that it moved ‘forward’ — and that it could be hastened through appropriate investments.

As this theory began to develop, particularly in the mid-century context of the cold War, the contest of ideas with “Communism” was palpable. These were Western theories, and economics became part of the new battlefield. The theories were quickly dissected and, for some, the ideological aspects excised. What remained seems timeless and irrefutable: more economic growth is better than no economic growth. In addition, the success of Marshall Fund investments in war-torn Europe suggested to many that economic growth could be “jump-started” through appropriate investment.

The world is a complex place, however, and we have learned painfully that growth is not necessarily linear, that money alone does not guarantee growth, and that “more” is not necessarily “better.”

Key Questions:

1. What constitutes economic growth? Is it always and everywhere good? What are the key indicators of economic growth? Is economic growth of constant value to a citizen? Or is there a difference in the value of growth? What are the consequences of limited or no growth?
2. Is economic growth a function of money alone? What other factors influence growth? What role do investments in people (education and health), in institutions (legal and financial), and in structures (infrastructure and research) play in promoting growth? What are the sources of funds for such investments? Does the source of the money influence its capacity to produce economic growth (its productivity)?
3. What are the impediments to growth? Are certain impediments more important than others? Is economic growth ideologically determined? Can ‘outsiders’ create the conditions for growth? Do investments in economic growth altruistic or do they serve the self-interest of the donor nation? Does it matter? What is the future of economic growth?

Readings (68 pages)

1. Walt W. Rostow, [The Stages of Economic Growth: A Non-Communist Manifesto](#) (Cambridge University Press, 1960). Chapter 2.
<http://www.ou.edu/uschina/gries/articles/IntPol/Rostow.1960.Ch2.pdf> (10 pages)
2. Walt W. Rostow, “Lessons of the Plan: Looking Forward to the Next Century,” pp. 205-212:
<https://nduezproxy.idm.oclc.org/login?url=https://search.ebscohost.com/login.aspx?direct=true&db=aph&AN=9708253409&site=ehost-live&scope=site> (8 pages)
3. The Marshall Plan: George C. Marshall, “Against Hunger, Poverty, Desperation and Chaos” (Harvard Address, June 5 1947): pp. 160-161:
<https://nduezproxy.idm.oclc.org/login?url=https://search.ebscohost.com/login.aspx?direct=true&db=aph&AN=9708253375&site=ehost-live&scope=site> (2 pages)
4. Diane B. Kunz, “The Marshall Plan Reconsidered: a Complex of Motives,” pp. 162-70:
<https://nduezproxy.idm.oclc.org/login?url=https://search.ebscohost.com/login.aspx?direct=true&db=aph&AN=9708253378&site=ehost-live&scope=site> (9 pages)
5. James Chace, “An Extraordinary Partnership: Marshall and Acheson,” pp. 191-194:
<https://nduezproxy.idm.oclc.org/login?url=https://search.ebscohost.com/login.aspx?direct=true&db=aph&AN=9708253389&site=ehost-live&scope=site>
<http://ic.galegroup.com/ic/bic1/MagazinesDetailsPage/MagazinesDetailsWindow?failOverType=&query=&prodId=BIC1&windowstate=normal&contentModules=&display->

[query=&mode=view&displayGroupName=Magazines&limiter=&currPage=&disableHighlighting=false&displayGroups=&sortBy=&search_within_results=&p=BIC1&action=e&catId=&activityType=&scanId=&documentId=GALE%7CA169186300&source=Bookmark&u=wash60683&jsid=ecc586506a6a91c00d900816687c96cb](http://ic.galegroup.com/ic/bic1/MagazinesDetailsPage/MagazinesDetailsWindow?failOverType=&query=&prodId=BIC1&windowstate=normal&contentModules=&display-query=&mode=view&displayGroupName=Magazines&limiter=&currPage=&disableHighlighting=false&displayGroups=&sortBy=&search_within_results=&p=BIC1&action=e&catId=&activityType=&scanId=&documentId=GALE%7CA169186300&source=Bookmark&u=wash60683&jsid=ecc586506a6a91c00d900816687c96cb) (4 pages)

6. Paul Collier, “The Resource Curse,” The Bottom Billion, Oxford, 2007, pp. 38-52. (15 pages)

7. End of the Resource Curse?

http://ic.galegroup.com/ic/bic1/MagazinesDetailsPage/MagazinesDetailsWindow?failOverType=&query=&prodId=BIC1&windowstate=normal&contentModules=&display-query=&mode=view&displayGroupName=Magazines&limiter=&currPage=&disableHighlighting=false&displayGroups=&sortBy=&search_within_results=&p=BIC1&action=e&catId=&activityType=&scanId=&documentId=GALE%7CA396549231&source=Bookmark&u=wash60683&jsid=dbf07f5efc787d54b69d96f8f4842053. (2 pages)

8. Financing Development:

http://ic.galegroup.com/ic/bic1/MagazinesDetailsPage/MagazinesDetailsWindow?failOverType=&query=&prodId=BIC1&windowstate=normal&contentModules=&display-query=&mode=view&displayGroupName=Magazines&limiter=&currPage=&disableHighlighting=false&displayGroups=&sortBy=&search_within_results=&p=BIC1&action=e&catId=&activityType=&scanId=&documentId=GALE%7CA421127138&source=Bookmark&u=wash60683&jsid=e9c0f796c60b942a267c29e2986ed0ec. (2 pages)

9. Taxing for Development:

http://ic.galegroup.com/ic/bic1/MagazinesDetailsPage/MagazinesDetailsWindow?failOverType=&query=&prodId=BIC1&windowstate=normal&contentModules=&display-query=&mode=view&displayGroupName=Magazines&limiter=&currPage=&disableHighlighting=false&displayGroups=&sortBy=&search_within_results=&p=BIC1&action=e&catId=&activityType=&scanId=&documentId=GALE%7CA421127126&source=Bookmark&u=wash60683&jsid=3b746e285f7354fa7b35789c41d825b3 (2 pages)

10. Development Assistance:

http://ic.galegroup.com/ic/bic1/MagazinesDetailsPage/MagazinesDetailsWindow?failOverType=&query=&prodId=BIC1&windowstate=normal&contentModules=&display-query=&mode=view&displayGroupName=Magazines&limiter=&currPage=&disableHighlighting=false&displayGroups=&sortBy=&search_within_results=&p=BIC1&action=e&catId=&activityType=&scanId=&documentId=GALE%7CA414478861&source=Bookmark&u=wash60683&jsid=673ac2aad5e95fc863d210340d1b28ee. (2 pages)

11. Economic Growth and Political Ideology:

<http://ic.galegroup.com/ic/bic1/MagazinesDetailsPage/MagazinesDetailsWindow?failOverType=&query=&prodId=BIC1&windowstate=normal&contentModules=&display->

http://ic.galegroup.com/ic/bic1/MagazinesDetailsPage/MagazinesDetailsWindow?failOverType=&query=&prodId=BIC1&windowstate=normal&contentModules=&display-query=&mode=view&displayGroupName=Magazines&limiter=&currPage=&disableHighlighting=false&displayGroups=&sortBy=&search_within_results=&p=BIC1&action=e&catId=&activityType=&scanId=&documentId=GALE%7CA419309648&source=Bookmark&u=wash60683&jsid=2d82865aa3c3db8a49523337fc99096f (2 pages)

12. Infrastructure and Institutions:

http://ic.galegroup.com/ic/bic1/MagazinesDetailsPage/MagazinesDetailsWindow?failOverType=&query=&prodId=BIC1&windowstate=normal&contentModules=&display-query=&mode=view&displayGroupName=Magazines&limiter=&currPage=&disableHighlighting=false&displayGroups=&sortBy=&search_within_results=&p=BIC1&action=e&catId=&activityType=&scanId=&documentId=GALE%7CA415358123&source=Bookmark&u=wash60683&jsid=b68ee2854760100858067bb1e8f04008 (2 pages)

13. Leapfrogging Growth:

http://ic.galegroup.com/ic/bic1/MagazinesDetailsPage/MagazinesDetailsWindow?failOverType=&query=&prodId=BIC1&windowstate=normal&contentModules=&display-query=&mode=view&displayGroupName=Magazines&limiter=&currPage=&disableHighlighting=false&displayGroups=&sortBy=&search_within_results=&p=BIC1&action=e&catId=&activityType=&scanId=&documentId=GALE%7CA256797916&source=Bookmark&u=wash60683&jsid=e1ffefa41f8abdbd8eaa4368aade46a (2 pages)

14. Ethnicity and Inequality:

http://ic.galegroup.com/ic/bic1/MagazinesDetailsPage/MagazinesDetailsWindow?failOverType=&query=&prodId=BIC1&windowstate=normal&contentModules=&display-query=&mode=view&displayGroupName=Magazines&limiter=&currPage=&disableHighlighting=false&displayGroups=&sortBy=&search_within_results=&p=BIC1&action=e&catId=&activityType=&scanId=&documentId=GALE%7CA413544166&source=Bookmark&u=wash60683&jsid=5804636d5cc70d77df766d91477f74a2 (2 pages)

15. Nigerian Infrastructure:

http://ic.galegroup.com/ic/bic1/MagazinesDetailsPage/MagazinesDetailsWindow?failOverType=&query=&prodId=BIC1&windowstate=normal&contentModules=&display-query=&mode=view&displayGroupName=Magazines&limiter=&currPage=&disableHighlighting=false&displayGroups=&sortBy=&search_within_results=&p=BIC1&action=e&catId=&activityType=&scanId=&documentId=GALE%7CA418382884&source=Bookmark&u=wash60683&jsid=2ec45879b42d2978bff23306bf3080d6 (2 pages)

16. The Future of Infrastructure?:

http://ic.galegroup.com/ic/bic1/MagazinesDetailsPage/MagazinesDetailsWindow?failOverType=&query=&prodId=BIC1&windowstate=normal&contentModules=&display-query=&mode=view&displayGroupName=Magazines&limiter=&currPage=&disableHighlighting=false&displayGroups=&sortBy=&search_within_results=&p=BIC1&action=e&catId=&activityType=&scanId=&documentId=GALE%7CA418382884&source=Bookmark&u=wash60683&jsid=2ec45879b42d2978bff23306bf3080d6

[tyType=&scanId=&documentId=GALE%7CA404939321&source=Bookmark&u=wash60683&jsid=bf7e69b1b8d922f4670eaa321a78c478](#) (2 pages)

TOPIC 7
**A BROADER CASE FOR DEVELOPMENT: BASIC HUMAN NEEDS, HEALTH AND
EDUCATION, HUMAN CAPITAL AND INSTITUTION BUILDING**

Wednesday
November 4
1330-1520

Purpose and Learning Objectives: This lesson looks at those efforts to focus assistance on basic human needs. Its objectives:

1. Understand the multiple considerations associated with developing prevention strategies for fragile states.
2. Analyze initiatives being developed to approach a range of issues addressing basic human needs, including eradicating extreme poverty, eliminating infectious diseases; combatting rampant corruption, and developing institutions.
3. Identify the key actors engaged in addressing these challenges.

Discussion: Following what many saw as the failure of aid efforts in Vietnam to adequately support the war or win the peace, disillusionment with foreign assistance grew. It had succeeded neither in nation building nor in producing the economic growth required for Rostow's "take-off." Supporters needed to find new arguments for a strong development program, and they increasingly focused on the challenges of reducing poverty, increasing education and improving health—arguing that development aid, by targeting policies, institutions and organizations involved in public services, could help those most in need.

Key Questions:

1. What is an appropriate rationale for foreign aid — what should be the goal of a development policy?
2. What agencies are best qualified to design and implement programs in health, education, agriculture and public service delivery?
3. What is involved in institution building — what constraints limit its effectiveness and what are reasonable expectations for its success?

Readings (16 pages, videos):

1. Hans Rosling, 200 Countries 200 Years (4 minute video), <https://www.youtube.com/watch?v=jbkSRLYSojo>.
2. Carothers, "Apolitical Roots, "The Shift to Basic Needs," Development Aid Confronts Politics, pp. 35-41.

<http://site.ebrary.com/lib/nationaldefense/detail.action?docID=10686598&p00=%22development+aid+confronts+politics%22>.<http://site.ebrary.com/lib/nationaldefense/detail.action?docID=10686598&p00=%22development+aid+confronts+politics%22> (7 pages).

3. “Basic Needs,” Overseas Development Institute Briefing Paper, 1978, <http://www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/6616.pdf> (4 pages)
4. USAID Eradicating Extreme Poverty, <http://www.usaid.gov/endextremepoverty>. (2 minute video)
5. “Feed The Future, The US Governments Global Hunger and Food Security Initiative,” <http://feedthefuture.gov/>. (6 pages)
6. Office of Education, USAID, “Strategy and Program Focus,” <https://www.usaid.gov/who-we-are/organization/bureaus/bureau-economic-growth-education-and-environment/office-education>. (1 page)
7. The US Presidents Emergency Plan for AIDS Relief, <http://www.pepfar.gov/>. (1 page)

Supplemental Reading:

1. Robert Kaplan, The Coming Anarchy, Atlantic 1994, <http://www.theatlantic.com/magazine/archive/1994/02/the-coming-anarchy/304670/>
2. Brookings Institution, Implementing the New Deal for Fragile States, July 2014, pp. 1-10, <http://www.brookings.edu/~media/Research/Files/Papers/2014/07/30-new-deal-fragile-states-ingram/Implementing-the-New-Deal-for-Fragile-States.pdf?la=en>

TOPIC 8 POLITICAL TRANSITION, DEMOCRACY AND GOVERNANCE

**Thursday
November 12
1330-1520**

Purpose and Lesson Objectives: This lesson will provide an overview of evolution in international development thinking over a period of 50 years from a generally apolitical, technical orientation during the 1960s, 70s and 80s to a recognition in the 1990s that both political goals and political methods are essential for achieving development results. Its objectives:

1. To review the history of political assistance from the early days of Title X and “political development” to on-going efforts to build institutions, civil society organizations, electoral systems, parliaments, political parties, independent judiciary and an active media.
2. To introduce students to the type of programs that donors implement under the rubric of “democracy, human rights and governance,” and the multiple challenges associated with implementing these programs.

Discussion: Many early analysts and practitioners viewed development as mostly a technical discipline: insert capital and technical know-how and a country would take-off. While the technical know-how may have included institution building — supporting the development of government ministries or judicial organs — the emphasis was on remaining as apolitical as possible. Indeed, for some development actors, the World Bank is the most prominent example, the need to avoid politics was written into their charter. However, critics charged that this seeming apolitical approach was failing to deliver the desired results (due to corruption and other impediments) and was immoral (the beneficiaries were corrupt and often human rights abusing leaders).

In the United States, an initial response to the criticism was to adopt legislation prohibiting the provision of development assistance to governments that engaged in gross human rights abuses. This use of political conditionality proved contentious, particularly as it was seen to as often being only selectively applied. The Millennium Challenge Corporation, however, has enshrined political conditionality into the selection process for compact eligible countries.

A second response was to use development assistance to support democratic actors in authoritarian regimes. Indeed, following the fall of the Berlin Wall in 1989, support for democracy and governance (DG) was elevated into one of USAID’s four core objectives. Over time, USAID developed a large cadre of “D & G” experts, who implement a wide array of DG programs in virtually all countries where USAID operates. These DG programs have achieved many notable successes in strengthening parliaments, judiciaries, election commissions, and independent media, and working with nongovernmental actors that monitor human rights, corruption and the delivery of basic services. At the same time, some of the DG programs have

stirred local political sensitivities, and in a few instances have led to the expulsion of USAID from a country or to the arrests of USAID contractors and grantees.

A third response has been characterized as the political economy approach. The emphasis is on understanding the political dynamics as an absolute prerequisite for implementing effective development programs in any sector. Hence, the starting point for any new project should be an assessment of the political constraints that have hindered progress in the particular sector. The assessment should then inform the project design in accounting for the political obstacles and developing strategies for overcoming them.

Key Questions

1. How has the development community philosophy regarding “politics and development” evolved during the past 50 years?
2. Should political conditionality be used in determining where to provide development assistance or what types of assistance to provide?
3. What is the relationship between democracy performance and economic development?
4. What types of DG programs have proven most/least effective? How does one evaluate the efficacy of DG programs?
5. How should donors balance their commitments to “host country ownership” and to support for democratic activists in non-democratic societies?

Readings (97 pages)

1. Tom Carothers and Diane de Gramont, “Breaking the Political Taboo,” Development Aid Confronts Politics: The Almost Revolution, 2012, pp. 55-87 (33 pages).
2. Mort Halperin, Joe Siegle and Michael Weinstein, The Democracy Advantage: How Democracies Promote Prosperity and Peace, 2010, pp. 1-25 (25 pages).
3. Michael McFaul, Advancing Democracy Abroad: Why We Should and How We Can, 2010, pp. 1-24 (24 pages)
4. “20 Years of USAID Economic Growth Assistance in Europe and Eurasia, Highlights and Executive Summary,” 7/24/2013, pp. 1-11, and “Lessons Learned,” pp. 12-15.
https://www.usaid.gov/sites/default/files/documents/1863/EE_20_Year_Review.pdf (15 pages).

Supplementary Reading:

1. Dennis A. Rondinelli, and John D. Montgomery, “Regime Change and Nation Building: Can Donors Restore Governance in Post-Conflict States?” *Public Administration and Development* 25(1), Feb 2005, pp. 15-23:

<https://nduezproxy.idm.oclc.org/login?url=http://search.proquest.com/docview/216162930/33BB1A75FD0D4F85PQ/12?accountid=12686> (9 pages)

2. National Academy of Sciences, *Improving Democracy Assistance: Building Knowledge Through Evaluation and Research*, 2008, pp. 17-43.

<http://www.nap.edu/read/12164/chapter/1#xiv>. (26 pages)

TOPIC 9
HUMANITARIAN ASSISTANCE: TSUNAMI, HAITI AND EBOLA

Wednesday
November 18
1330-1520

Purpose and Learning Objectives: This module is designed to provide students with an in-depth understanding of the international humanitarian enterprise and how the USG approaches it. The lesson will outline US and international structures for preparing and responding to natural and manmade disasters. It will examine the tools for cooperation within the interagency, with international partners, and with host governments. It will also examine more in-depth the growing relationship between relief and development through the resilience lens to demonstrate the evolution of the development enterprise.

Discussion: The session will use three case studies to demonstrate clearly how humanitarian assistance is done. The Tsunami response will focus on the challenges of a widely spread response that involved multiple host governments, multiple militaries being involved, and the geo-politics of humanitarian assistance. Likewise, Haiti will demonstrate the complexities of a USG response within its backyard, while the Ebola case will highlight the complexities of responding to disease outbreaks, focusing on the preparedness aspects of the response and implications for future international humanitarian health coordination.

Key questions:

1. Was the Haiti earthquake response ultimately successful? What lessons can be drawn from the response and reconstruction efforts?
2. What are the strengths and shortcomings in humanitarian assistance in dealing with major disasters?
3. What is the role of humanitarian assistance in complex emergencies? Should politics and humanitarian assistance mix? Can HA be “neutral” in a complex emergency?

Required Readings:

1. Jonathan Katz, “The Big Truck That Went By: How the World Came to Save Haiti and Left Behind a Disaster” (TBD)
2. Paul Farmer, “Haiti After the Earthquake” (TBD)
3. Dennis McGilvray, ”Tsunami Recovery in Sri Lanka” (TBD)
4. Susan Blackwell, “Tsunami”
USAID, Office of Transition Initiatives Haiti Program - Part 1 (six minute video)
<https://www.usaid.gov/news-information/videos/office-transition-initiatives-haiti-program-part-1>

5. Jake Johnston, “Transparently Untransparent, USAID’s Office of Transition Initiatives,” Center for Economic and Policy Research, April 7, 2014. <http://www.cepr.net/blogs/haiti-relief-and-reconstruction-watch/transparently-untransparent-usaids-office-of-transition-initiatives>. (1 page).

6. Office of Foreign Disaster Assistance, USAID, “Humanitarian Assistance in Review, Haiti-January 2010-Present,” <https://www.usaid.gov/sites/default/files/documents/1866/USAID-DCHA%20Haiti%20Humanitarian%20Assistance%20in%20Review%20-%20January%202010-Present.pdf> (1 page).

(Will also use a variety of after-action studies done by OFDA, ODI, and DOD)

7. Michael VanRooyen. “Effective Aid: Ensuring Accountability in Humanitarian Assistance,” *Harvard International Review* 35(2), Fall 2013: pp. 12-16. Humanitarian assistance is aimed at providing rapid, life-saving support in settings of high population vulnerability, such as in times of war, disaster, or displacement. The provision of humanitarian assistance is complicated by severe access restrictions, large-scale emergency needs, displaced populations, and complex political and social settings. Both war and disasters create, and often amplify, existing economic disparities and contribute to an environment in which gender inequities, human vulnerabilities, and human rights abuses are likely to be exacerbated. This article will focus on some of the factors contributing to ineffective humanitarian aid and discuss the progress toward humanitarian reform, including the need for professionalism, coordination, and accountability. The rise in natural and climate-related disasters combined with the demographic shift to urbanization will change the way that UN and NGO actors provide assistance. <https://nduezproxy.idm.oclc.org/login?url=http://search.proquest.com/docview/1519974831/fulltextPDF/824ED154FA44FBEPQ/1?accountid=12686> (5 pages).

8. Michael Barnett and Peter Walker. “Regime Change for Humanitarian Aid,” *Foreign Affairs* 94(4), Jul/Aug 2015: pp. 130-141. The global humanitarian system, already under considerable strain, will soon be tested as never before. In 2013, the gap between the funds available for humanitarian aid and estimated global needs reached \$4.5 billion, leaving at least one-third of the demand unmet. The gap seems certain to widen, as key donors cut their contributions and humanitarian disasters grow more frequent and severe. Small wonder, then, that the humanitarian community consistently falls short of expectations — both those of outside observers and its own. Humanitarians faced wide-ranging and relentless criticism for these failures, and they responded with efforts to tidy up their act. Aid agencies have repeatedly pledged to democratize the delivery of assistance by establishing more equitable partnerships and real systems of accountability. But these were mostly empty promises. As the Humanitarian Club drags its feet on truly meaningful reform, a number of external forces are beginning to reshape the global humanitarian system from the outside. <http://search.proquest.com.nduezproxy.idm.oclc.org/docview/1691576772?accountid=12686> (12 pages).

9. Francois Audet. “From Disaster Relief to Development Assistance: Why Simple Solutions Don’t Work,” *International Journal* 70(1), Mar 2015: pp. 110-118. The emergency-development continuum, also known as “linking relief, rehabilitation, and development”

(LRRD), has been a conceptual, institutional, and programmatic preoccupation for aid organizations and humanitarian policymakers for well over two decades. The objective of this short paper is to introduce the idea of the emergency-development continuum and, only partly ironically, to advance the notion that we should not bother with it: operationally, it has done more harm than good, driving the work of humanitarian organizations in directions that run counter to the interests of the people they are trying to serve.

<https://nduezproxy.idm.oclc.org/login?url=http://search.proquest.com/docview/1692915752/fulltextPDF/A0C7162B59854C42PQ/37?accountid=12686> (9 pages).

TOPIC 10
CONFLICT, POST-CONFLICT, STABILIZATION AND COUNTERING VIOLENT
EXTREMISM

Wednesday
December 2
1330-1520

Purpose and Learning Objectives: This session will give the students an overview of the tools used by development/transition/humanitarian offices to deal with the three areas of concern. The major focus will be on CVE and the application, success, and failures of the various tools, the operational and the bureaucratic strengths and impediments to success. We will focus on efforts through the PRTs and discuss the validity of that model, as well as efforts Iraq and Pakistan to deal with post-conflict reconstructions. Likewise, we will review efforts in the Horn of Africa at CVE to contrast those efforts with those in Afghanistan and Iraq. The learning objectives include:

1. To highlight the involvement of the interagency in overseeing stabilization efforts to understand the variety of viewpoints that determine the shape of programs.
2. To provide an understanding of the limitations of such programs, and examine recent recommendations coming out of Iraq and Afghanistan for developing more effective response tools.

Discussion: Concerned about the impact of ongoing conflict in fragile states on civilian populations, the Obama administration in August 2011 announced its intention to make “the prevention of atrocities a key focus” of its foreign policy and called for “a whole-of-government Atrocities Prevention Board.” It developed a strategy and a series of steps to strengthen the government’s approach to potential genocide and mass atrocities. The efforts reflected global interest in establishing an international norm that countries have the responsibility of protecting (Responsibility to Protect — R2P) their population from mass atrocities and human rights violations. If they are unable to do so, the international community has the right to step in, even to breach rights of sovereignty, to provide required protection.

Key Questions:

1. What is being done to counter violent extremism?
2. Is a whole-of-government approach working?
3. Should the strategy include sub-components related to “eradicating poverty,” “combatting corruption,” and “improving education standards,” or does inclusion of these issues distract from the main goal of combatting violent extremism?

4. Is the US properly organized at the inter-agency level to respond effectively to the challenges posed by fragile states? What has been the impact of the Atrocity Prevention Board established by President Obama in 2010? Are the tools fit for the challenge?
5. What is R2P? Does it mark a significant break from traditional international relations? What has been the impact of the doctrine since formally adopted by UN in 2005?

Required Readings (89 pages):

1. White House Fact Sheet, Summit on Countering Violent Extremism, February 18, 2015, <https://www.whitehouse.gov/the-press-office/2015/02/18/fact-sheet-white-house-summit-countering-violent-extremism>. (3 pages)
2. White House Summit to Counter Violent Extremism Ministerial Meeting Statement, February 19, 2015 <http://www.state.gov/j/ct/cvesummit/releases/237673.htm>. (2 pages)
3. USAID, The Development Response to Countering Violent Extremism, September 2011, pp. 1-5, http://pdf.usaid.gov/pdf_docs/PDACS400.pdf. (5 pages)
4. World Bank, World Development Report, Conflict, Security and Development, Overview, 2-23 (2011), https://openknowledge.worldbank.org/bitstream/handle/10986/4389/9780821384398_overview.pdf?sequence=8. (20 pages)
5. Dr. Sarah Sewall, Making Progress: US Prevention of Mass Atrocities, April 24, 2015, <http://www.humanrights.gov/dyn/2015/04/making-progress-u.s.-prevention-of-mass-atrocities>. (5 pages)
6. USAID, “Field Guide: Helping Prevent Mass Atrocities,” April 2015: <http://www.humanrights.gov/pdf/fact-sheet-usaid-atrocity-prevention.pdf>. (2 pages)
7. UN 2005 World Summit Outcome Document, Responsibility to Protect, paras 138-139, http://www.responsibilitytoprotect.org/index.php?option=com_content&view=article&id=398. (1 page)
8. Edward Luck, The Responsibility to Protect at Ten: The Challenges Ahead, May 2015, <http://www.stanleyfoundation.org/publications/pab/LuckPAB515.pdf>. (8 pages)
9. James Finkel, *Atrocity Prevention at the Crossroads: Assessing the President’s Atrocity Prevention Board After Two Years*, US Holocaust Memorial Museum, September 2014, pp. 1-30. <http://www.ushmm.org/m/pdfs/20140904-finkel-atrocity-prevention-report.pdf>. (30 pages)
10. Gareth Evans and Mahmoud Sahnoun, “The Responsibility to Protect,” *Foreign Affairs*, September-October 2002, <https://www.foreignaffairs.com/articles/2002-11-01/responsibility-protect>. (15 pages)

Supplementary Reading:

1. J. Khalil, A Case Study of CVE, www.stabilityjournal.org
2. Daniel Bolger, “Why We Lost: A General’s Inside Account of the Iraq and Afghanistan Wars”
3. Dexter Filkins, “The Forever War”
4. Emma Shey, “The Unravelling: High Hopes and Missed Opportunities”
5. Minxin Pei, et al, “Building Nations, The American Experience,” Chapter Three, Nation Building, op cit., pp. 64-83. (20 pages)
6. “Why Countering Extremism Fails,” www.foreignaffairs.com
7. UN Secretary General, Implementing the Responsibility to Protect, 2009, <http://responsibilitytoprotect.org/Implementing%20the%20RtoP.pdf>, pp. 1-31 (31 pages).

TOPIC 11 US DEVELOPMENT POLICY

**Wednesday
December 9
1330-1520**

Purpose and Learning Objectives: This lesson reviews US development policy and efforts to coordinate the agencies responsible for its implementation. Its objectives are:

1. To review efforts to establish a policy for development assistance;
2. To gain an understanding of the efforts to coordinate the agencies involved in development assistance, assign authorities and responsibilities, and provide oversight;
3. To evaluate the range of factors affecting the effectiveness of the formulation and delivery of assistance.

Discussion: US development policy has been in a state of flux since its inception. Agreeing on objectives, targeting scarce resources at well-defined goals and using them in a way that is comprehensible to the American public and wins their support, have all been difficult. Coming up with a comprehensive policy has rarely been attempted. For decades successive Congresses and administrations have been hard pressed to convince voters of the importance of foreign aid. Repeatedly they have shifted objectives, from development through economic growth to basic human needs, from private sector development to democracy promotion and market reform. There has been confusion as to the extent to which foreign aid should be used to respond to US security concerns or to promote development as a good in itself. And there has been much debate over which agencies should be responsible for design and implementation of aid programs.

Key Questions:

1. What should be the purposes of foreign aid?
2. Can or should the US have a comprehensive development policy?
3. Who should be responsible for design and implementation of foreign aid programs?
4. What can be done to increase their effectiveness?

Required Readings

1. White House Fact Sheet, US Global Development Policy (PPD 6), September 2010, <http://fas.org/irp/offdocs/ppd/global-dev.pdf>. (8 pages)

2. Nathaniel Myers, “Hard Aid: Foreign Aid in the Pursuit of Short-Term Security and Political Goals,” Carnegie Endowment for International Peace, September 2015, pp. 1-12.
http://carnegieendowment.org/files/CP_252_HardAid_Myers_final.pdf. (12 pages)
3. Andrew Natsios, “The Clash of the Counter-Bureaucracy and Development,” Center for Global Development, July 2010:
http://www.cgdev.org/sites/default/files/1424271_file_Natsios_Counterbureaucracy.pdf. (45 pages)
4. Michael Igoe, “5 Hillary Clinton E-Mails You Actually Should Read,” Devex, September 11, 2015 <https://www.devex.com/news/5-hillary-clinton-emails-you-actually-should-read-86838>
(2 pages)

Supplemental Reading:

1. Paul Collier, The Bottom Billion: Why the Poorest Countries are Failing and What Can Be Done About It, (2007), pp. 177-192. (16 pages)
2. The Report of the High-Level Panel of Eminent Persons on the Post-2015 Development Agenda, Executive Summary, May 2013,
http://www.un.org/sg/management/pdf/HLP_P2015_Report.pdf. (2 pages)
3. Desaix Myers, “USAID, Operator Rather Than Policy Maker,” The National Security Enterprise, Roger George and Harvey Rishikoff, forthcoming. (32 Pages)

TOPIC 12
WRAPPING IT UP: NEXT STEPS, CONCLUSIONS AND RECOMMENDATIONS

Wednesday
December 16
1330-1520

This session will be student-led and will provide an opportunity students to present their research findings and conclusions from their papers.

ADDITIONAL RESOURCES

Daron Acemoglu, Suresh Naidu, Pascual Restrepo, and James Robinson. "Democracy, Redistribution and Inequality," NBER working paper series, Dec 2013. (85 pages so may be a bit longer than you had in mind). Available as a PDF from NBER: <http://www.nber.org/papers/w19746.pdf>

Michael W. Doyle, and Stiglitz, Joseph E. "Eliminating extreme poverty: a sustainable development goal, 2015-2030," *Ethics & international affairs* 28(1), Spring 2014, pp. 5-13. At the United Nations Millennium Summit in September 2000, UN member states took a dramatic step by putting people rather than states at the center of the UN's agenda. In their Millennium Declaration, the assembled world leaders agreed to a set of breathtakingly broad goals touching on peace through development, the environment, human rights, the protection of the vulnerable, the special needs of Africa, and reforms of UN institutions. Particularly influential was the codification of the Declaration's development-related objectives, which emerged in the summer of 2001 as the now familiar eight Millennium Development Goals (MDGs), to be realized by 2015.

<http://search.proquest.com.nduezproxy.idm.oclc.org/docview/1508409260?accountid=12686>

Niels Dabelstein, Micheal Quinn Patton. "The Paris Declaration on Aid Effectiveness: History and Significance," *The Canadian Journal of Program Evaluation* 27(3), 2012: pp. 19-36. As context for the evaluation of the Paris Declaration, this article traces the history of international agreements that led up to the Paris Declaration and the significance of the agreement itself.

<https://nduezproxy.idm.oclc.org/login?url=http://search.proquest.com/docview/1322997102/8B48E500E7464FBEPQ/79?accountid=12686>

Dambisa Moyo, and Paddy Ashdown. "Does Aid Work?" *New Statesman* 141(5111), June 25, 2012: pp. 24-28,9. Across many countries in Africa, policy inertia has had negative consequences in relation to food policy. Because the international community underwrites public goods across the board - education, health care, national security and infrastructure - African governments are able to abdicate their responsibilities in food production. [...]in emergencies such as the floods in Mozambique, or droughts in Ethiopia, there is a moral imperative for the international community to act.

<http://search.proquest.com.nduezproxy.idm.oclc.org/docview/1022297144?accountid=12686>

Amartya Sen. "How Does Development Happen?" *Cato journal* 25(3), Fall 2005: pp. 455-

<http://search.proquest.com.nduezproxy.idm.oclc.org/docview/195597487?accountid=12686>

Jeffrey Sachs. "The Development Challenge," *Foreign Affairs* 84(2), Mar/Apr 2005: pp. 78-

<http://search.proquest.com.nduezproxy.idm.oclc.org/docview/214292407?accountid=12686>

Richard N. Cooper. "The Road from Serfdom: Amartya Sen Argues that Growth is not Enough" (review of Development as freedom), *Foreign Affairs* 79(1), Jan/Feb 2000: pp. 163-167.

<http://search.proquest.com.nduezproxy.idm.oclc.org/docview/214312093?accountid=12686>

Marian Leonardo Lawson. "Foreign Aid: International Donor Coordination of Development Assistance." Congressional Research Service, February 5, 2013; 29 p. Provides overview of official development assistance, discusses international coordination goals established by donors at high-level development policy forums, and provides overview of U.S. policy and efforts to meet these goals. Identifies key issues in donor coordination of development assistance, highlighting growing role of non-traditional donors, such as China, in development cooperation.

[https://nduezproxy.idm.oclc.org/login?url=http://congressional.proquest.com/congressional/result/pqpresultpage.gispdfhitspanel.pdf?link/\\$2fapp-bin\\$2fgis-congresearch\\$2f7\\$2fa\\$2fd\\$2f6\\$2fcrs-2013-fdt-0100_from_1_to_29.pdf/entitlementkeys=1234%7Capp-gis%7Ccongresearch%7Ccrs-2013-fdt-0100](https://nduezproxy.idm.oclc.org/login?url=http://congressional.proquest.com/congressional/result/pqpresultpage.gispdfhitspanel.pdf?link/$2fapp-bin$2fgis-congresearch$2f7$2fa$2fd$2f6$2fcrs-2013-fdt-0100_from_1_to_29.pdf/entitlementkeys=1234%7Capp-gis%7Ccongresearch%7Ccrs-2013-fdt-0100)

Luisa Blanchfield. "U.N. System Development Assistance: Issues for Congress." Congressional Research Service, July 28, 2011; 42 p. Discusses origins, evolving role, and strengths and weaknesses of the UN development system (UNDS), ... examines current UNDS structure, including country, regional, and global activities, as well as funding levels and trends. ...

[https://nduezproxy.idm.oclc.org/login?url=http://congressional.proquest.com/congressional/result/pqpresultpage.gispdfhitspanel.pdf?link/\\$2fapp-bin\\$2fgis-congresearch\\$2f4\\$2f0\\$2fb\\$2f9\\$2fcrs-2011-fdt-0783_from_1_to_42.pdf/entitlementkeys=1234%7Capp-gis%7Ccongresearch%7Ccrs-2011-fdt-0783](https://nduezproxy.idm.oclc.org/login?url=http://congressional.proquest.com/congressional/result/pqpresultpage.gispdfhitspanel.pdf?link/$2fapp-bin$2fgis-congresearch$2f4$2f0$2fb$2f9$2fcrs-2011-fdt-0783_from_1_to_42.pdf/entitlementkeys=1234%7Capp-gis%7Ccongresearch%7Ccrs-2011-fdt-0783)

William Easterly. "The Big Push Déjà vu: A Review of Jeffrey Sachs 'The End of Poverty: Economic Possibilities for our Time'," *Journal of Economic Literature* XLIV, March 2006: pp. 95-105.

<https://nduezproxy.idm.oclc.org/login?url=https://search.ebscohost.com/login.aspx?direct=true&db=uh&AN=19970106&site=ehost-live&scope=site>

Jeffrey Sachs. "Government, Geography and Growth" (review of Acemoglu & Robinson, *Why Nations Fail*). *Foreign Affairs* 91(5), Sep/Oct 2012: pp. 142-150.

<https://nduezproxy.idm.oclc.org/login?url=https://search.ebscohost.com/login.aspx?direct=true&db=aph&AN=78859925&site=ehost-live&scope=site>

Amartya Sen. "The Man Without a Plan" (review of Easterly, *The White Man's Burden*), *Foreign Affairs* 85(2), Mar/Apr 2006: pp. 171-177.

<http://search.proquest.com.nduezproxy.idm.oclc.org/docview/214301473?accountid=12686>

William Easterly. "Was Development Assistance a Mistake?" *The American Economic Review* 97(2), May 2007: pp. 328-332. This article argues that development assistance was based on three assumptions that, with the benefit of hindsight (although a wise few also had foresight), turned out to have been mistaken.

<https://nduezproxy.idm.oclc.org/login?url=http://search.proquest.com/docview/872522420/7C9B832430A5499EPQ/23?accountid=12686>

Leo Hindery Jr., Jeffrey Sachs, and Gayle Smith. "Revamping U.S. Foreign Assistance," *The SAIS review of International Affairs* 28(2), Summer 2008: pp. 49-54.

<http://search.proquest.com.nduezproxy.idm.oclc.org/docview/231324451?accountid=12686>

William Easterly, Ross Levine, and David Roodman. "Aid, Policies, and Growth: Comment," *The American Economic Review* 94(3), June 2004, pp. 774-780. In an extraordinarily influential paper, Craig Burnside and David Dollar find that aid has a positive impact on growth in developing countries with good fiscal, monetary and trade policies but has little effect in the presence of poor policies. This finding has enormous policy implications. The Burnside and Dollar result provides a role and strategy for foreign aid. If aid stimulates growth only in countries with good policies, this suggests that: 1. Aid can promote economic growth. 2. It is crucial that foreign aid be distributed selectively to countries that have adopted sound policies. This paper reassesses the links between aid, policy, and growth.

<http://search.proquest.com.nduezproxy.idm.oclc.org/docview/233027073?accountid=12686>

Raj Kumar. "USAID Revisited," *Georgetown Journal of International Affairs* 7(1), Winter 2006: pp. 51-57. As US foreign aid has grown, so too has fragmentation in the management and delivery of that aid. Whereas the US Agency for International Development (USAID) once managed nearly all aid funds, today at least forty foreign aid programs are administered in nearly every agency of the US federal government. While USAID is still the main conduit for foreign aid, it is no longer the dominant force it once was.

<https://nduezproxy.idm.oclc.org/login?url=http://search.proquest.com/docview/221131793/fulltextPDF/8B48E500E7464FBEPQ/84?accountid=12686>