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# PPC IDEAS ANNUAL REPORT

**OCTOBER 1, 2004 – SEPTEMBER 30, 2005**

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# PPC IDEAS Annual Report

## October 1, 2004 - September 30, 2005

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## EXECUTIVE SUMMARY

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PPC seeks to become a “center of ideas,” a leading voice for new thinking on the future of foreign assistance. The Center for Institutional Reform and the Informal Sector (IRIS) at the University of Maryland, via the PPC IDEAS project, helps PPC achieve this goal. IRIS makes top-notch expertise—individuals and their prepared ideas—on international development and foreign policy issues from around the world available to assist USAID staff. IRIS, together with other appropriate experts, also produces research papers to inform policy papers and policy briefs. It also organizes and conducts seminars, workshops and other events to provide intellectual support for USAID’s policy agenda. The sum of this work is to help PPC identify, consider and use appropriate cutting-edge development policy ideas generated by academics, think-tank professionals, other development practitioners and other policy makers.

In its third year of activity, from October 2004 through September 2005, PPC IDEAS:

- Sponsored, conducted, or actively participated in 8 events, including 4 meetings to generate a new draft of the Fragile States Assessment Tool (FAST), a workshop to analyze the current situation in Burundi and vet the Fragile States Strategy with key USAID personnel, a workshop on Guinea to identify the sources of fragility in that country, a multi-donor Service Delivery meeting in New York City, and the annual forum of the international Learning Network on Program-Based Approaches (LENPA).
- Conducted analysis collaboratively with USAID staff to help operationalize USAID’s fragile states strategy.
- Distributed 9 e-bulletins to USAID on relevant topics such as globalization, fragile states, and aid effectiveness.

During the October 1, 2004 to September 30, 2005 reporting period, 241 development practitioners, scholars and policy experts have been involved in PPC IDEAS projects and 81 experts and USAID officials contributed to PPC IDEAS papers, events and workshops.

IRIS continues to disseminate ideas showcased by PPC IDEAS activities, principally through the IRIS Web site. Informal feedback indicates that USAID staff and others are using the ideas and other outputs generated by the PPC IDEAS program in their work.

PPC IDEAS plans for the coming year include:

- Preparation of a user-friendly draft of the Fragile States Assessment Tool.
- Development of a manual on how to use FAST.

- Preparation of several working papers, including: Identifying and Changing Patterns of Fragility and Resilience in Fragile States, and Relationships Between State Fragility and Conflict
- Comparison of USAID’s approaches to corruption and fragile states.
- Finalization of several working papers expanding on fragile states analysis.

## OVERVIEW: INTELLECTUAL LEADERSHIP AGENDA SUPPORT, OR PPC IDEAS

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The PPC IDEAS project supports the development, production, and dissemination of policy related products by the Bureau of Policy and Program Coordination (PPC) in USAID. PPC seeks to become a “center of ideas,” a leading voice for new thinking on the future of foreign assistance. The Center for Institutional Reform and the Informal Sector (IRIS) at the University of Maryland, via the PPC IDEAS project, helps PPC achieve this goal. IRIS makes specialized expertise—individuals and their prepared ideas—on international development and foreign policy issues from around the world available to assist USAID staff.

IRIS, together with other appropriate experts, also produces research for policy papers and policy briefs. It organizes and conducts seminars, workshops and other events to provide intellectual support for USAID’s policy agenda. The sum of this work and coordination of global expertise by IRIS is to help PPC identify, consider and use appropriate cutting-edge ideas generated by academics, think-tank professionals, development practitioners and other policy makers from around the world for policy and strategy development.

## PPC IDEAS ACTIVITIES

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The following activities were carried out during the third year of the PPC IDEAS Program, from October 2004 through September 2005:

### Request 2004 – 06: Fragile States Assessment Tool

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**Description:** Based upon PPC IDEAS’ work in prior years on the fragile states strategy and the work of USAID in this area, PPC IDEAS continued to collaborate with USAID staff to move USAID’s fragile states strategy from the conceptual to the practical. PPC helped USAID develop a methodology for conducting rigorous, generally field-based, investigations into the dynamics of fragility and translating that analysis into effective and actionable program options. The following activities were conducted as part of the

Fragile States Assessment Tool request. A number of the activities are still ongoing and will be finalized in the coming year.

### **Activity 1: Assembling the Technical Assistance Team**

This activity took place in the annual reporting period for fiscal year 2004 (October 1, 2003 - September 30, 2004).

### **Activity 2: Fragile States Assessment Tool Kick off Meeting**

This activity took place in the annual reporting period for fiscal year 2004 (October 1, 2003 – September 30, 2004).

### **Activity 3: Prepare a Draft of the Assessment Tool**

**Description:** Since 2004, PPC IDEAS has been assisting USAID to refine a Fragility Assessment Tool (FAST). FAST leads an assessment team through a series of steps, from diagnosis to program strategy. The tool helps USAID staff think about fragile states differently and realistically. It gives staff a better sense of what fragile states programming should look like, and how it is different from traditional development oriented policies. FAST also helps USAID staff think more strategically with respect to dynamic systems with competing groups and interests within fragile states. Drafts of the Fragile States Assessment Tool were a result of collaborative work between PPC IDEAS staff, outside experts, and a USAID Design Team.

The first step in developing a draft FAST was to prepare a preliminary fragile states assessment framework. Using this framework as a guide, three desktop pilot studies on fragile states were completed: East Timor, Nepal, and Cote d'Ivoire. The purpose of these studies was to identify the underlying sources of each country's fragility and to propose USAID interventions to address them effectively. Each desktop study used a "matrix" to assess government effectiveness and legitimacy overall, and in four dimensions of governance: political, economic, social, and security strength.

#### **Content:**

- "East Timor: The Fragile Road to Recovery" was produced by Joe Siegle (Associate Director IRIS); Mike Reeves, Anita Sanyal, and Su Zheng (Graduate Research Assistants); with participation by Ann Phillips (USAID/PPC) and Kate Somvongsiri (USAID/DCHA).
- "Nepal: A Fragile States Assessment" was produced by Jack A. Goldstone (George Mason University) and Paula Harrison (Graduate Research Assistant); with participation by Judith Dunbar (USAID/DCHA).
- "Cote d'Ivoire: A Fragile States Assessment" was produced by Jonathan Haughton (Suffolk University); Alfonso Sanchez-Penaluar (Suffolk University); Andrea

Hoshmand and Bill Varettoni (Graduate Research Assistants); with participation by Wendy Marshall (USAID/DCHA) and Lydia Hall (USAID).

A half-day workshop was held to consider each country paper (East Timor, January 11, 2005; Nepal, January 12, 2005; and Cote d'Ivoire, January 13, 2005). The feedback from the meetings with USAID staff, which included Tjip Walker (DCHA/CMM), Wendy Marshall (DG), Ann Phillips (PPC/P), Konrad Huber (OTI) Melissa Brown (PPC), Bob Leavitt (AFR), Sharon Morris (DCHA), and Charles Weden (DCHA), was incorporated into the draft Framework.

#### **Activity 4: Brief/ Debrief Field Teams**

**Description:** USAID developed another iteration of the Fragile States Assessment (FSA) methodology in January 2005. A pilot use of this FSA in Guinea was arranged to serve as a helpful field test of the framework. On Friday, March 4, 2005, PPC IDEAS held a pre-departure workshop to help prepare the assessment team for its field work in Guinea later in March 2005.

A number of experts on Guinea and the West African region were invited to highlight sources of fragility and resilience in Guinea. To help provide a strong foundation for program options, workshop attendees considered sources of Guinea's fragility and resilience, current political dynamics, and potential future scenarios. Speakers included Robert Groelsema (USAID/AFR/SD); Joe Pegues (Pegues & Assoc.); Michael Mensch (Consulting Africa Limited); Ambassador Elliott Skinner; and Leonard Robinson (The Africa Society).

**Content:** Prior to the departure of field staff for Guinea, PPC IDEAS, with the help of Maureen Donaghy (IRIS); Joe Siegle (Associate Director, IRIS); Melissa Thomas (IRIS); Dennis Wood (Deputy Director, IRIS); and Monty Marshall (CIDCM), produced a West African regional analysis, consisting of seven countries, including and surrounding Guinea. Each country was analyzed using the fragile states assessment framework and included review of political, economic, social and security conditions in terms of effectiveness and legitimacy:

- Guinea Fragile States Analysis
- Guinea-Bissau Fragile States Analysis
- Ivory Coast Fragile States Analysis
- Liberia Fragile States Analysis
- Mali Fragile States Analysis
- Senegal Fragile States Analysis
- Sierra Leone Fragile States Analysis



Clockwise from left: Judith Robinson, USAID, Peggy Meites, USAID, Lisa Ortiz, USAID, Patrick Meagher, IRIS, Christine Prefontaine, IRIS, Clare Wolfowitz, IRIS, Phillip Steffen, USAID, Tjip Walker, USAID, and Judith Dunbar, USAID, in the midst of a Fragile States Assessment Tool (FAST) redraft meeting on 13 September 2005.

The results were compiled into a pre-departure brief for use by those attending the March 4, 2005 Guinea pre-departure workshop.

Following the workshop, a Guinea Fragile States Assessment was conducted by a seven-person team: three drawn from USAID/Washington, three from the Mission, and one external consultant. The team reviewed documents, interviewed knowledgeable individuals in Washington and throughout Guinea and produced a draft Fragile States Assessment (FSA).

### **Activity 5: Reviewing the Progress of the Fragile States Assessment Tool (FAST)**

**Description (A):** PPC IDEAS held a series of events and helped carry out several different analyses to improve the fragile states assessment tool, especially in light of USAID's experience with the FAST in Guinea. On Friday, June 24, 2005, USAID held a meeting to review accomplishments in the creation of a Fragile States Assessment Tool. Participants included IRIS staff (Patrick Meagher, Joe Siegle, and Dennis Wood) as well as Jack Goldstone (George Mason University), Tjip Walker from USAID, and Lewis Rasmussen (ARD).

**Content (A):** Feedback from this meeting was used to revise the Fragile States Assessment Tool further and to prepare a draft for use in carrying out a Burundi assessment.

**Description (B):** On July 27-28, 2005, PPC IDEAS facilitated and organized a workshop, which included 36 USAID staff and experts, to use the most recent draft of FAST to analyze the current situation in Burundi.

IRIS invited experts in the social, security, economic, political, and institutional aspects of Burundi to participate in the first day's discussions to prepare USAID staff for conducting a desktop fragile states assessment of Burundi. Suliman Baldo (International Crisis Group, Africa Program Director); John Janzen (Director of African Studies Center, University of Kansas); Steve McDonald (Woodrow Wilson Center); Mevin Ndarusigiye (Consultant, MEVMAR Education Consulting); Glenn Slocum (Senior Partner, Associates for Global Change); and Howard Wolpe (Director, Africa Program, Woodrow Wilson Center) were the main speakers at the workshop.

**Content (B):** The discussions and feedback obtained during this workshop were used to identify program priorities for USAID in Burundi. They were also used to guide development of another version of FAST.

### **Activity 6: Service Delivery in Fragile States**

**Description:** In December 2004, the Development Assistance Committee of the Organization for Economic Cooperation and Development (OECD/DAC) Fragile States Group commissioned a work-stream on service delivery in fragile states. USAID, through its Bureau of Democracy, Conflict and Humanitarian Assistance, the Office of Conflict

Management and Mitigation (DCHA/CMM), and UNICEF are co-leading a task team to identify good practices and develop practical guidance and recommendations for effective work in this area by the summer of 2006. PPC IDEAS prepared a concept paper to outline the analytical and procedural foundation for this work.

On June 28, 2005, PPC IDEAS facilitated a workshop, which included 37 USAID staff and experts, to review and discuss the contents of the concept paper.

**Content:** Patrick Meagher (Associate Director, IRIS) developed a cross-cutting concept paper, entitled, “Service Delivery in Fragile States: Framing the Issues.” States display their fragility to the extent that they are unable or unwilling to provide basic services, such as personal safety, basic health care and education, or adequate food and water to the majority of their citizens. The paper frames the issues here by drawing on the fragile states, public goods, service delivery, and political economy literatures.

The feedback obtained during the June 28, 2005 workshop contributed to revisions of the paper and the scope of work to be used by inter-donor teams organized to identify best practice in each of four service delivery systems.

### **Activity 7: Working Papers**

**Description:** Drawing from the work and research of USAID and PPC IDEAS staff and outside experts, PPC IDEAS developed a Fragile States Working Papers series. The purpose of the series is to provide USAID staff with a more in-depth understanding of a selection of institutional dynamics involved in fragile states. In addition, the Working Papers series is intended to provide information to enrich USAID staff’s understanding of critical themes and issues in fragile states.

**Content:** PPC IDEAS, working collaboratively with USAID staff, has produced five working papers to date in the series:

- The first paper, “Strategy Framework for the Assessment and Treatment of Fragile States,” was produced primarily by Jack A. Goldstone (George Mason University); Jonathan Haughton (Suffolk University); Karol Soltan (University of Maryland); Clifford Zinnes (Director of Research Coordination, IRIS). Ann Phillips (USAID/PPC) edited the paper extensively. The paper offers an overview of fragile states and identifies the fundamental cause of state resilience or capacity as the quality of a state’s underlying institutions.
- The second paper, “State Capacity: the Dynamics of Effectiveness and Legitimacy in Government Action in Fragile States,” was produced primarily by Jack A. Goldstone (George Mason University), with extensive collaboration by Tjip Walker (USAID/CMM). The paper builds on and further expands upon the conclusions of Working Paper number one, by discussing the capacity of state institutions in four sectors: political, economic, social, and security.

- The third paper, “Diagnostic Assessment of Fragile States,” was produced primarily by Ronald J. Oakerson (Academic Vice President and Dean of Houghton College), Dennis Wood (Deputy Director IRIS), and Joe Siegle (Associate Director IRIS), with extensive collaboration by Tjip Walker (CMM). The paper sheds light on how to conceptualize and analyze patterns of fragility and resilience in fragile states.
- The fourth paper, “Rebuilding Constitutional Order,” was produced primarily by Karol Soltan (University of Maryland). The paper highlights the role of constitutional order in fragile states.
- The fifth paper, “Service Delivery in Fragile States: Framing the Issues,” was produced primarily by Patrick Meagher (Associate Director IRIS). The paper provides insight into ways donor states can support delivery of services in fragile environments and how service delivery can address fragility.

## Request 2005 – 04 LENPA Forum on Capacity Development in the Context of Program-Based Approaches

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**Description:** IRIS provided support to the USAID-hosted annual forum of the international Learning Network on Program-Based Approaches (LENPA). The forum, held from April 25-27, 2005 at the Marriott Wardman Park Hotel in Washington, DC, was the fourth forum sponsored by LENPA. Previous network meetings were hosted by the Canadian International Development Agency (CIDA, 2001) and Germany’s Gesellschaft für Technische Zusammenarbeit (GTZ, 2002).

**Content:** The forum focused primarily on capacity development in the context of Program Based Approaches (PBAs), defined as coordinated approaches by donors to support locally-owned programs. The European Union, as network coordinator, developed the agenda for the forum in concert with a steering committee that included USAID.



Su Zheng, IRIS, prepares for the LENPA conference held at the Marriott Hotel in Washington D.C. on 25 April 2005.

Joan S. Atherton (USAID); Julia Henn (USAID); Alexandria Niewijk (USAID); Heather Baser (European Centre for Development Policy Management); Nils Boesen (Diana’s Center for Competence Development); Gilles Hervio (Directorate of European Commission); Real Lavergne (Canadian International Development Agency); Nicoletta Merlo (Directorate of European Commission); and Hagino Noguchi (Japan International Cooperation

Agency) helped direct the forum.

PPC IDEAS provided support to the PPC Bureau, the coordinating point within USAID for the forum.

## Request 2005 – 06: Additional Work under FRAME

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**Description:** Since 2003, PPC IDEAS has collaborated with USAID to help reorient its programming strategies toward fragile states.

### **Activity 1: Scope of Work for Service Delivery Field Studies**

**Description:** Based on the broad research and resultant concept paper on service delivery, PPC IDEAS developed a scope of work for a multi-donor effort to apply the basic service delivery model to four particular types of fragile operating environments (deterioration, post-conflict transition, arrested development and early recovery) and four types of service delivery (health, education, policing/ prosecution/prison, and water).

**Content:** Patrick Meagher (Associate Director, IRIS), working with Tjip Walker (USAID/DCHA/CMM), produced a scope of work to address how different fragile states' environments—and their varying combinations of state effectiveness, legitimacy and will—interact with the key accountability relationships identified in the basic service delivery model. In addition, Mr. Meagher considered the impact of issues that cross-cut these environments: the overarching theme of donor harmonization and alignment, sequencing and other approaches to address low absorptive capacity, and financing sustainability in different fragile environments. The scope of work will be used by DAC/OECD to examine service delivery in fragile states.

### **Activity 2: Multi-Donor Service Delivery Meeting**

**Description:** On September 22 and 23, 2005, the service delivery concept paper and scope of work document, which further elaborates on service delivery strategies in the four sectors of Policing, Education, Health, and Water, were discussed by Tjip Walker (USAID/CMM) Patrick Meagher (Associate Director, IRIS), and Dennis Wood (Deputy Director, IRIS) at a multi-donor meeting in New York, as part of the OECD/DAC Fragile States Group process for coordinating aid policies in this area.

**Content:** Following the meeting, Mr. Meagher finalized the service delivery scope of work for use by the DAC Fragile States Group in carrying out field studies.

### **Activity 3: Prepare User-Friendly Draft of the Fragile States Assessment Framework**

**Description:** PPC IDEAS continues to work with USAID to make FAST a user-friendly, easy-to-understand guide for field staff.

On 13 September, 2005, PPC IDEAS facilitated a meeting with USAID staff to discuss ways to make the FAST more user-friendly. Tjip Walker (DCHA/CMM); Judith Dunbar (DCHA); Peggy Meites (GH); Lisa Ortiz (AFR); Lawrence Robertson (DCHA/CMM); Judith Robinson (EE); Phillip Steffen (USAID); Dennis Wood (IRIS Deputy Director); Patrick Meagher (IRIS), Christine Prefontaine (IRIS Director of Communications); and Clare Wolfowitz (IRIS) participated in the meeting.

**Content:** The group identified several ways to improve the FAST document to serve as a guide for a wide array of USAID staff, donor staff and other development professionals. FAST was edited and redrafted to incorporate the feedback obtained at the meetings.

## E-BULLETINS

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**Description:** E-bulletins are PPC IDEAS compilations of relevant articles from academic journals, think-tanks, the public record and general news sources. They cover topics highly relevant to shaping USAID strategy and policies. PPC IDEAS distributes the e-bulletins via email to high-level USAID policy makers to provide easy access to selected key work developed by others. E-bulletins are also available publicly on the PPC IDEAS web site at [http://www.irisprojects.umd.edu/ppc\\_ideas/bulletins.htm](http://www.irisprojects.umd.edu/ppc_ideas/bulletins.htm)

**Content:** To date, PPC IDEAS has distributed 23 issues of the e-bulletin. For the period of October, 2004 to September 2005, PPC IDEAS produced 9 e-bulletins, a brief description of which can be found below:

### *Issue XV – Thailand*

Using the fragile states analytical framework, this e-bulletin provides numerous articles that shed light on the effectiveness and legitimacy aspects of Thailand's governance.

### *Issue XVI – Nepal*

Using the fragile states analytical framework, this e-bulletin sheds light on Nepal's fragility and resilience.

### *Issue XVII – Zimbabwe*

Using the fragile states analytical framework, this e-bulletin provides information about Zimbabwe's fragility and resilience.

### *Issue XVIII – Afghanistan*

Using the fragile states analytical framework, this e-bulletin provides numerous articles that shed light on Afghanistan's fragility and resilience.

*Issue XIX – Commission for Africa*

This e-bulletin provides an update on the activities of the Commission for Africa, established by Tony Blair in February 2004. It includes ideas and proposals discussed in the commission and general reactions to them.

*Issue XX – Ethiopia*

Using the fragile states analytical framework, this e-bulletin provides articles on Ethiopia's fragility and resilience.

*Issue XXI – Tax Competition*

This e-bulletin analyzes the economic, social, and political ramifications of tax competition in a globalized world.

*Issue XXII – Globalization & Development I*

This PPC e-bulletin concentrates on the equitableness and security, economic, and political ramifications of globalization.

*Issue XXIII – Globalization & Development II*

This PPC e-bulletin considers globalization in the context of intellectual property rights, the role of diasporas in the state, and the disequilibrium in the global labor market as a result of the merger of the capitalist and socialist economic systems.

## COPYRIGHT POLICY

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PPC IDEAS has secured copyright permission for each article linked directly to the PPC IDEAS website. To accomplish this, PPC IDEAS has developed a process, which includes permission requests and copyright research through the Copyright Clearance Center.

## THE YEAR AHEAD

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During the coming year, PPC IDEAS plans to focus on developing a portfolio of tools and activities to support implementation of USAID's Fragile States Strategy. This may include a user-friendly draft of the Fragile States Assessment Tool; a procedures manual for the use of FAST; training modules for FAST; training in the use of the Fragile States Assessment Tool, and support for fragile states assessment teams. PPC IDEAS will also produce several working papers that deal with such topics as patterns of state fragility, civil conflict, corruption, service delivery, aid effectiveness, and development.

PPC IDEAS will also continue to arrange events on timely issues and bring relevant experts together with USAID staff to present key ideas about development problems and possible solutions. PPC IDEAS will work closely with the PPC Bureau on topics of particular importance to USAID. PPC IDEAS will also continue to distribute e-bulletins, composed of thematic documents from think-tanks, news outlets, NGOs, academics and other sources.



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