

Notes

Chapter 1

- 1 Among recent efforts are the Stiglitz-Sen-Fitoussi Commission (www.stiglitz-sen-fitoussi.fr), the Organisation for Economic Co-operation and Development project on measuring well-being (www.oecd.org/progress) and the European Union framework for multidimensional indicators (www.ec.europa.eu/social/).
- 2 UNDP–HRO 1990–2009; see inside back cover for a list of HDRs.
- 3 The literature and experience are vast; see Alkire (2010) for a review.
- 4 Sen 2002: 585.
- 5 Sen 2009a.
- 6 Crocker 2007; Narayan and Petesch 2007; Richardson 2006.
- 7 *The Economist* 1990.
- 8 *The Economist* 1991. The World Bank subsequently dropped the income-based ranking in 1998 and now presents countries alphabetically.
- 9 Anand and Sen 2000c.
- 10 Gertner 2010.
- 11 Kaletsky 1990.
- 12 Gittings 1990.
- 13 Seneviratne 1999.
- 14 Chahine 2005.
- 15 *The Straits Times* 1990.
- 16 John Williamson (1989) coined the term “Washington Consensus” to describe the policy prescriptions that the International Monetary Fund, World Bank and US Department of the Treasury promoted for developing countries hit by the economic crises of the 1980s. Key prescriptions were cutting government spending, reducing inflation, selling state enterprises, opening to trade and liberalizing exchange and interest rates.
- 17 See Nayyar (2008) for a review of the evolution of development thinking. On basic needs, see Ghai and others (1980).
- 18 The 1990 HDR (UNDP–HRO 1990: 67; see inside back cover for a list of HDRs) included a chapter on development strategies that argued for “more realistic and operational” targets. The 1991 HDR developed these points, as did the 1994 HDR, which carried the global compact idea forward. Key conferences and summits over the period related to education (Jomtien 1990), children (New York 1990), environment (Rio de Janeiro 1992), population (Cairo 1994), social development (Copenhagen 1995) and women (Beijing 1995).
- 19 UN 2000.
- 20 Hulme and Fukuda-Parr 2009: 4.
- 21 UNDP 2010.
- 22 New indicators have been added over time to address some of these dimensions, as in 2005 when a target on access to reproductive health was added.
- 23 This is clearly indicated in a box authored by Sen as co-chair of the Commission on Human Security (2003). See also Alkire (2003), Gasper (2005), ul Haq (1995) and Tajbakhsh and Chenoy (2007).
- 24 *Journal of Human Development and Capabilities* 2003; Gasper 2005.

- 25 International Commission on Intervention and State Sovereignty, the 2003 Commission of Human Security, the 2004 High-Level Panel on Threats, Challenges and Change. See Jolly, Emmerij, and Weiss (2009).
- 26 Including Canada, Japan, Norway and Switzerland.
- 27 African Union, European Union, Association of Southeast Asian Nations, Organization of American States and League of Arab States. See UN (2010a).
- 28 UN 2010a.
- 29 Anand and Sen 2000b; Osmani 2005; Sen 2004, 2005.
- 30 Vizard 2006.
- 31 Edwards and Gaventa 2001: 277.
- 32 The Gallup World Poll asked respondents who had heard of global warming whether they perceived it to be a serious threat. On average, more than three-quarters of respondents in 126 countries described it as serious.
- 33 Neumayer 2010a.
- 34 Kant 1785; HDR 1994 (UNDP–HRO 1994: 13; see inside back cover for a list of HDRs); Anand and Sen 2000a: 2030.
- 35 WCED 1987: 43.
- 36 HDR 1994 (UNDP–HRO 1994; see inside back cover for a list of HDRs); Anand and Sen 2000a.
- 37 Jolly, Emmerij, and Weiss 2009.
- 38 World Bank 2000; Fukuda-Parr 2007.
- 39 F. Stewart 2010.
- 40 For a useful review see Nayyar (2008).
- 41 Lindauer and Pritchett 2002.
- 42 Alkire 2007; OECD 2008b.
- 43 Bourguignon 2004.
- 44 Stern 2006.
- 45 Rodrik 2006.
- 46 Narayan and others 1999.
- 47 Acemoglu, Johnson, and Robinson 2001; Bardhan 2006; Pritchett, Woolcock, and Andrews 2010.
- 48 Polanyi 2002. See also Veblen (2007) and Myrdal (1957). Discussions about participatory development and management of common resources also go back several decades; see Agarwal (2001) for a useful review of participation, and Baland and Platteau (1996) on property rights.
- 49 Rodrik (2006) provides an excellent review of the report.
- 50 Commission on Growth and Development 2008: 2.
- 51 The indicator set is updated over time, most recently in 2009, when material deprivation and housing were added; see www.peer-review-social-inclusion.eu/.
- 52 Duflo, Hanna, and Ryan 2009.
- 53 Mookherjee 2005; see also Deaton (2009) and Cartwright (2009).
- 54 Seminal work is associated with Kahneman, Diener, and Schwarz (1999) and Kahneman and Krueger (2006).
- 55 The well known paradox noted by Easterlin (1995) points out that while richer people are happier than poorer people within countries, there is no systemic relationship between income and happiness above a certain income threshold either between countries or over time (see Graham 2010). This paradox has been challenged of late (see Stevenson and Wolfers 2008 and Deaton 2008) but not yet fully repudiated (see Krueger 2008).

- 56 Kahneman 1999. See also Diener and others (2009).
- 57 Sen (1985b) provides a thorough analysis of agency and its importance.
- 58 Sen (1999: 157) argues that the significance of democracy lies “in three distinct virtues: (i) its *intrinsic importance*, (ii) its *instrumental contributions* and (iii) its *constructive* role in the creation of values and norms [emphasis in original].”
- 59 Harding and Wantchekon 2010. See also Barbone and others (2007).

Chapter 2

- 1 Gertner 2010.
- 2 See Raworth and Stewart (2002) for a survey.
- 3 For country-level values of the HDI and its components, see statistical table 1.
- 4 There are no major differences in the results when the new HDI indicators are used; see Gidwitz and others (2010).
- 5 The analysis in this chapter and chapter 3 covers the 40-year period since 1970. In many cases comparisons over such a long period require restricting the sample to countries for which data are available. For this reason, some of the aggregates presented in these chapters differ from those presented in the statistical tables.
- 6 Sixty countries are not covered by our sample. On average, they are somewhat less developed than countries in the sample: life expectancy is three years shorter, literacy is similar but gross enrolment is 6 percentage points lower, and per capita income is \$2,785 lower. This does not mean that all countries excluded from the hybrid HDI sample are poor: eight (including Germany and Singapore) are classified today as developed according to the new HDI reported in statistical table 1. Their annual economic growth and changes in health were slightly higher than in the rest of the sample, while changes in gross enrolment and literacy were similar. Obviously, this evidence is only partial because the data are incomplete, but it suggests that the omission of these countries does not systematically bias the picture of progress that emerges from our analysis.
- 7 We start with 1970 because that is the first year for which we can calculate the HDI for a sufficiently large number of countries.
- 8 Unless otherwise noted, all dollar figures in this Report refer to purchasing power parity-adjusted 2008 dollars.
- 9 Since the HDI is about people, we use averages weighted by population, unless otherwise noted. The main exception relates to policy indicators such as those discussed in chapter 3, where the country is the relevant unit of observation. Unweighted averages give a better sense of average country performance and show an increase in the HDI from 0.53 in 1970, to 0.62 in 1990 and to 0.69 in 2010.
- 10 Similarly, Easterly (2009) shows that choices about how to measure and set Millennium Development Goal targets significantly affect which countries and regions are progressing most and which are failing.
- 11 Specifically, the deviation from fit is the residual from a regression of changes in the HDI on the initial HDI level.

- 12 Common alternatives to the deviation from fit are the absolute change in the HDI, the HDI growth rate and the percentage reduction of the shortfall from the maximum level. The four methods applied coincide broadly in identifying the bottom movers, which include such countries as the Democratic Republic of the Congo, Moldova, Zambia and Zimbabwe. But the shortfall reduction method comes out with different top performers: 9 of the top 10 are developed countries, in contrast to at most 1 in the other three methods. China, Lao PDR, Nepal, Oman, Saudi Arabia and South Korea are consistently among the top performers regardless of method. See also Gray and Purser (2010) and Ranis and Stewart (2010) for a comparison of alternative methods.
- 13 The Spence Commission on Growth and Development examined 13 success stories of countries that experienced high growth over sustained periods since 1950. Of these, only four (China, Indonesia, Oman and South Korea) coincide with our group of top movers.
- 14 Pritchett 1997; UNDESA 2006; Ocampo, Vos, and Sundaram 2007.
- 15 Pritchett 1997.
- 16 The HDI upper bound is the result of a normalization that has no effect on rates of change (see *Technical note 7*); thus, it is not true in general that the functional form imposes a constraint on progress at the top. On convergence caused by natural upper bounds, see endnote 18.
- 17 Take, for example, the case of life expectancy. Although one might expect that there is an upper limit, this is not generally accepted by longevity researchers. Oeppen and Vaupel (2002) show that female life expectancy in the top-ranked country has advanced at a steady annual pace of three more months a year over the past 160 years, with no deceleration over time.
- 18 To evaluate whether this generates the convergence, we unbounded the variables through a logit transformation
- $$\ln x = \ln\left(\frac{x}{\bar{x} - x}\right),$$
- where x is the variable in question and \bar{x} denotes its upper bound and confirmed the convergence results. Beta convergence tests (see Barro and Sala-i-Martin 2003) associated with the logit transform of literacy, gross enrolment and mean years of schooling reject the hypothesis of no convergence with p -values of less than 1 percent for all three variables. A statistically significant decline in the relationship between initial levels and log changes was found for all variables except income, both in levels and in the logit transform. Alternative indicators (among them years of tertiary schooling and undernourishment) confirm the convergence—albeit for shorter time spans and fewer countries. For all nonincome variables except life expectancy, the beta convergence effect weakens after 1990.
- 19 Proposals have been put forward to create a separate index for developed countries to better distinguish among them; see Herero, Martínez, and Villar (2010).
- 20 China's gross enrolment ratio fell from 69 percent in 1976 to 50 percent in 1990 and has recovered to 68 percent today.
- 21 We created an indicator of quality-adjusted years of schooling for 13 countries for which the dispersion fell from 1995 to 2007, a suggestive but not conclusive result given the small sample size.
- 22 Namely, the Congo, the Democratic Republic of the Congo, Georgia, Kyrgyzstan, Moldova, Swaziland, Tajikistan, Ukraine, Zambia and Zimbabwe.
- 23 Note, however, that the clustering does not occur at the top of the scale in either figure 2.4 or figure 2.7, suggesting that it is not due to countries hitting an upper bound.
- 24 WHO 2008: 2.
- 25 This is consistent with a faster increase in longevity in developing countries as the higher absolute reductions in infant mortality have a significant effect on life expectancy. Also note that these values differ from those presented in figure 2.5, as the figure uses decade averages from 1970s and 2000s.
- 26 Rajaratnam and others 2010.
- 27 UNICEF 2008.
- 28 Hogan and others 2010. These results have already sparked some controversy, however; see Graham, Brauholtz, and Campbell (2010).
- 29 UNICEF 2008.
- 30 For this as well as several other comparisons presented below, we use decadal averages rather than specific years in order to increase the size of the sample over which the comparison is carried out.
- 31 Background research prepared for this Report suggests that these phenomena may have contributed to a dual convergence, with different sets of countries converging to different levels of life expectancy. Countries whose life expectancy exceeded 55 years in 1965 continued converging to low mortality. However, only a few countries with initial life expectancy below 55 years made the transition. See Canning (2010).
- 32 UNAIDS 2008: 39.
- 33 For alternative views see Treisman (2010); Brainerd and Cutler (2005); and World Bank (2010g).
- 34 Brainerd 2010.
- 35 Zaridze and others 2009.
- 36 Watson 1995.
- 37 Yates 2006.
- 38 Ridde and Diarra 2009; Yates 2006.
- 39 Daponte and Garfield 2000.
- 40 Brown, Langer, and Stewart 2008.
- 41 UNDP 2010.
- 42 Sen 1983.
- 43 An interesting potential research question, which could be explored in future reports, is whether the correlation of hunger is greater with multidimensional poverty than with income poverty.
- 44 Shiva Kumar 2007.
- 45 Kasirye 2010.
- 46 Barrett and Maxwell 2005.
- 47 Drèze and Sen 1989.
- 48 FAO 2010b. Data on undernourishment and food deprivation are also in statistical table 8.
- 49 Olshansky and others 2005.
- 50 Strauss and Thomas 1998.
- 51 Nussbaum 2000.
- 52 Education is a consistent correlate of empowerment: in Bangladesh, see Kamal and Zunaïd (2006); in Ethiopia, Legovini (2006); in India, Gupta and Yesudian (2006); in Nepal, Allendorf (2007); and in the Russian Federation, Lokshin and Ravallion (2005).
- 53 The positive effect of education on longevity has been found for many countries, including Bangladesh (see Hurt, Ronsmans, and Saha 2004), South Korea (see Khang, Lynch, and Kaplan 2004) and the United States (see Cutler and Lleras-Muney 2006).
- 54 The gross enrolment ratio captures a country's enrolment as a share of the corresponding school-age population. Gross enrolment ratios can exceed 100 percent when students are enrolled who are not in the school-age population—due to grade repetition or late school entry. The net enrolment ratio covers only children who are in the age subgroup corresponding to a particular level of education—but such data are more limited and ignore the benefits of education for those outside the “appropriate” age group.
- 55 World Bank 2010g.
- 56 We say that the female gross enrolment ratio is close to or greater than the male ratio when it exceeds 98 percent; see UN (2009).
- 57 UNESCO 2010, tables 5 and 8.
- 58 World Bank 2010g.
- 59 See Tanzi and Schuknecht (2000), which covers a sample of now-developed countries. There are no systematic data on spending on schooling in developing countries at the turn of the 19th century, but the existing evidence indicates that it was likely even less (Gargarella 2002).
- 60 The pupil–teacher ratio fell from 37 in 1990 to 35 in 2007 (in 1970, it stood at 36) in all regions except Sub-Saharan Africa. Teachers are also typically better educated now than they were in the past—the ratio of teachers with training now stands at 80 percent for developing countries.
- 61 The average for 2005–2009 for countries with available data.
- 62 Nielson 2009.
- 63 Hanlon, Barrientos, and Hulme 2010.
- 64 Hanushek 1995; Glewwe 1999.
- 65 The test is the Trends in International Mathematics and Science Study—see Glewwe and Kremer (2006).
- 66 Comparison based on the latest available year of data from Trends in International Mathematics and Science Study for the test scores and World Bank (2010g) for spending.
- 67 Bessell 2009a, b.
- 68 Greaney, Khandker, and Alam 1999.
- 69 World Bank 2009d.
- 70 Pritchett and Murgai 2007; Walton 2010.
- 71 Pritchett, Woolcock, and Andrews 2010; De and Drèze 1999.
- 72 The most recent Trends in International Mathematics and Science Study found that higher levels of parents' education (and assets and services at home, such as computers and access to the Internet) were associated with higher average math achievement in almost all countries. Similar patterns exist in developing countries (see Ishida, Muller, and Ridge 1995; Maundu 1988). This gap often remains large even after adjusting for student and family characteristics such as gender, age, number of parents and siblings (see Ma 2001; Caldas 1993; Schultz 1993).
- 73 Time series data for four developing countries show a decline of 9 percent in test scores from 1995 to 2007, even though these countries also greatly increased gross enrolment (by an average of 14 percent) over the same period. See also UNESCO (2004).
- 74 The assessment depends on whether the income figures are weighted by population or unweighted—that is, whether one thinks of the income of the average person or the average country. Because of China's size and rapid growth, the income of the average person in East Asia and the Pacific has grown 1,000 percent since 1970—but that of the average country in the region rose 344 percent. Likewise, the income of the average person in Sub-Saharan Africa increased only 17 percent, but that of the average African country, 93 percent. This reflects the weak overall growth records of the Democratic Republic of the Congo, Ethiopia and Nigeria, where 311 million people live.
- 75 This comparison refers to unweighted averages, which are typically used to evaluate convergence across countries. As shown in table 2.1, the conclusion is reversed if we use weighted averages because of the influence of China and India on the weighted figures. We return to this issue in our discussion of global inequality in chapter 4.
- 76 That is, than of any country in the top quarter of the world income distribution in 1970.
- 77 While from 1990 to 2010 differences in per capita income growth rates narrowed—developed countries grew 1.9 percent a year on average, compared with 1.8 percent in developing countries—the gap between the two continued to grow, although much more slowly than in the previous two decades. During 2005–2010 developing countries grew much faster than developed countries (an average of 3 percent a year, compared with 1.2 percent).
- 78 This comparison excludes oil-producing countries. For countries that are monoexporters and subject to high price fluctuations, per capita GDP at constant prices may not be the best indicator

for assessing long-run performance; see Rodríguez (2006) for a discussion.

- 79 Namely Burundi, Central African Republic, the Democratic Republic of the Congo, Côte d'Ivoire, Djibouti, Haiti, Liberia, Madagascar, Niger, Somalia, Togo, Zambia and Zimbabwe.
- 80 Equatorial Guinea's growth was similar to that of China, fuelled by oil. However, the use of base year prices to value growth in oil-abundant economies tends to distort the results from purchasing power parity—adjusted GDP series over long periods; see endnote 78.
- 81 della Paolera and Taylor 2003: 5.

Chapter 3

- 1 Improvements in human development are measured using the deviation from fit criterion presented in chapter 2.
- 2 The nonincome HDI comprises the health and education indices, equally weighted. The correlation between changes in the non-income HDI and economic growth is negative (−0.30) and statistically significant at the 1 percent level. However, this measure may be biased by the fact that less developed countries tend to have faster rates of improvement in the HDI. Thus in figure 3.1 we use the deviation from fit measure to account for different HDI starting points (see box 2.1 in chapter 2). The corresponding correlation is 0.13 and is not statistically significant. This robust finding does not depend on the specific indicators used to calculate nonincome human development.
- 3 Preston (1975), however, also showed that a snapshot relationship between *levels* of income and life expectancy did yield a significant relationship, a fact to which we return.
- 4 Easterly 1999. See also Cutler, Deaton, and Lleras-Muney (2006) and Kenny (2009).
- 5 Bourguignon and others 2008.
- 6 Kenny 2009.
- 7 On average, countries with negative economic growth over 1970–2010 experienced an increase of 11 years in life expectancy, 22 percentage points in gross enrolment and 40 percentage points in literacy.
- 8 See, for example, the discussion in Wooldridge (2002).
- 9 Easterly 1999.
- 10 Anand and Sen 2000c. People in high-income economies, however, may not use higher incomes to attain higher functioning. Examples are the high rates of obesity and the decline of leisure time in the United States (see Schor 1992; Cook and Daponte 2008) and more recently in Qatar. Within five years, Qatar's obesity rate is projected to be 70 percent (see WHO 2010).
- 11 Srinivasan 1994; Wolfers 2009.
- 12 *HDR 1997* and *HDR 2003* (UNDP—HDRO 1997, 2003; see inside back cover for a list of *HDRs*); Casabonne and Kenny 2009; Kenny 2008; Pritchett 2006; Glewwe and Kremer 2006; Strauss and Thomas 2008; Riley 2001; Benavot and Resnik 2006.
- 13 Hobbes 1651.
- 14 Wrigley and Schofield 1989: 230; Riley 2001: 33.
- 15 Some countries in northwestern Europe passed through an earlier health transition by reducing health crises caused by epidemics, wars and harvest failures. See Riley (2001): 20.
- 16 Soares 2007; Cutler and Miller 2005; Fogel 2004; Cutler, Deaton, and Lleras-Muney 2006.
- 17 Latin America and the Caribbean and Europe and Central Asia had life expectancies of 51 years and 60 years, still lower than the 65 years in developed countries.
- 18 Cutler, Deaton, and Lleras-Muney 2006; Cutler and Miller 2005.
- 19 Kenny forthcoming; Cutler, Deaton, and Lleras-Muney 2006: 108.
- 20 de Quadros and others 1998.
- 21 Soares 2007.
- 22 Jolly 2010.

- 23 See Kenny (forthcoming) and Boone and Zhan (2006).
- 24 Bryce and others 2003; Gauri 2002; Jones and others 2003.
- 25 Drèze and Sen 1989; McGuire 2010.
- 26 Miguel and Kremer 2004.
- 27 Cross-country studies examining aggregate measures of expenditures (such as public health spending as a share of GDP) or inputs (hospital beds or nurses per capita) tend to blur the distinctions between diverse programmes and inputs of varying quality and effectiveness and reach mixed conclusions: see Filmer and Pritchett (1999); McGuire (2010); Gupta, Verhoeven, and Tiongson (2003); Kruk and others (2007); and Gauri and Khaleghian (2002).
- 28 For more statistics on health, see statistical table 14.
- 29 Deaton 2002.
- 30 Kenny forthcoming: chapters 6 and 7.
- 31 Lake and Baum 2001. Kudamatsu (2007) used individual-level data from 28 African countries and found that children were more likely to survive after democratization. This analysis examined children born to the same mother before and after democratization to control for familial differences.
- 32 On mortality and risk of dying in childbirth, see Przeworski (2004); on life expectancy, see Lake and Baum (2001); Franco, Alvarez-Dardet, and Ruiz (2004); and Vollmer and Ziegler (2009). Harding and Wantchekon 2010.
- 33 This expansion involved an increase in the public provision of education, often while private education was marginalized; UNESCO (2006). See Pritchett (2002).
- 35 Tansel 2002; Edmonds 2005; Clemens 2004.
- 36 The increase over 1970–2007 was 22 and 23 percentage points, and the difference was not statistically significant. For more information about levels and trends in education enrolment, see statistical table 13.
- 37 For a sample of 48 countries the correlation between skill premiums and rate of growth of schooling over 1970–2010 is 0.14 and is not statistically significant.
- 38 Pritchett 2002.
- 39 Many governments came under intense international pressure to require universal primary education. The United Nations Educational, Scientific and Cultural Organization convened regional conferences on free and compulsory education (Bombay 1952; Cairo 1955; Lima 1956).
- 40 Elson 2001. Studies of the programme have shown significant effects on schooling and later on wages compared with people who did not participate; see Duflo (2001).
- 41 On years of education, see Tavares and Wacziarg (2001); on enrolment and literacy, see Lake and Baum (2001); Tsai (2006); and Vollmer and Ziegler (2009).
- 42 Expanding enrolment at higher levels requires meeting at least some basic efficiency and quality thresholds. Decentralization of school management at the local level has been found to be positively and significantly associated with efficiency and education quality; see Gallego (2010); Fuchs and Woessmann (2007); Stasavage (2005); and Tsai (2006).
- 43 See Walton (2010).
- 44 Drèze and Sen 1989. On typologies of human development, see Ranis and Stewart (2000, 2010).
- 45 Walton 2010.
- 46 Pineda and Rodríguez 2010.
- 47 Data on conflict from UCDP and PRIO (2009). We define as conflicts those that involve two parties, of which one is the government of a state, and that result in at least 1,000 battle-related deaths in one year, and exclude interstate armed conflicts between two or more states, so that our variable covers only “civil” conflicts. Some countries experiencing conflict in this database are Afghanistan (1990–2001, 2003–2008), India (1990–2006), Rwanda (1990–1993, 1997–1998, 2001–2002) and Turkey (1992–1998).

- 48 Causality in the relation between aid and development has been explored by, among others, Rajan and Subramanian (2008) and Minoiu and Reddy (2007).
- 49 Ranis and Stewart 2010.
- 50 Olavarria-Gambi 2003.
- 51 Durlauf, Johnson, and Temple 2005. See also Barro and Sala-i-Martin (2003) and Rodríguez (2007).
- 52 Rodrik 2007; Hausmann, Rodrik, and Velasco 2008.
- 53 Rodrik 2007; Hausmann and Rodríguez forthcoming; Denison 1967; Bhagwati and Desai 1970; Little, Scitovsky, and Scott 1970.
- 54 Binder and Georgiadis 2010; Gray and Purser 2010; Mayer-Foulkes 2010.
- 55 Mayer-Foulkes 2010.
- 56 McGuire 2010.
- 57 Klasen 2000.
- 58 Behrman and others 2009.
- 59 Duflo 2003.
- 60 Chen and Li 2009.
- 61 Binder and Georgiadis 2010.
- 62 Mayer-Foulkes 2010.
- 63 Moreno-Lopez and others 2009.
- 64 Brun, Chambas, and Mourji 2009; Diaw, Guérineau, and Jeanne 2009.
- 65 Moreno and Rodríguez 2009.
- 66 OECD 2008b.
- 67 Cubero and Hollar 2010.
- 68 Nattress and Seekings 2001.
- 69 OECD 2008b.
- 70 Fiszbein and others 2009.
- 71 Prasad 2008; *HDR 1990* (UNDP—HDRO 1990; see inside back cover for a list of *HDRs*); OECD 2008b; Nattress and Seekings 2001; Johannes, Akwi, and Anzah 2006; Cubero and Hollar 2010.
- 72 World Bank 2005b.
- 73 This section draws heavily on Walton (2010).
- 74 The Glass-Steagall Act was repealed in 1999. On the comparative evolution of financial systems regulation in Japan and Germany, see Vitols (2003) and Bebenroth, Dietrich, and Vollmer (2009).
- 75 Charumilind, Kali, and Wiwattanakantang 2006.
- 76 Hulme and Moore 2008; Nath, Sylva, and Grimes 1997; Bornstein 2005.
- 77 Marglin 2008.
- 78 ITOFP 2010.
- 79 NOIA 2006; EEA 2008.
- 80 Amnesty International 2009a.
- 81 *The Economist* 2007; Davies and others 2008.
- 82 However, in recent years, China has erected more barriers to entry and competition; see Bradsher (2010).
- 83 Li and Meng 2005.
- 84 Di John 2009.
- 85 For South Korea and Taiwan Province of China, Wade (1992: 314) noted that “whereas the governments of most other developing countries know that they can fail economically and not risk invasion, the governments and elites of these countries knew that without fast economic growth and social stability this could well happen. This led them to make an unusually close coupling of national security and economic strength.”
- 86 Walton 2010.
- 87 Friedman 2006.

Chapter 4

- 1 Fuentes-Nieva and Pereira 2010.
- 2 In figure 4.1 the measure of political freedom we use is Polity IV because it varies across a greater range and thus can be more easily graphed; the results are similar if we use the democracy measure described later in this chapter; see also statistical

- table 6. For the measure of inequality loss in HDI, see chapter 5. The measure of sustainability is adjusted net savings from the World Bank.
- 3 Harding and Wantchekon 2010; World Bank 2005b; Przeworski and others 2000; Cornia and Court 2001; Eicher and Turnovsky 2003.
 - 4 Kabeer 1999: 447.
 - 5 *HDR* 1990 (UNDP–HDRO 1990; see inside back cover for a list of *HDRs*).
 - 6 *HDR* 1993, 2000, 2002 and 2004 (UNDP–HDRO 1993, 2000, 2002, 2004; see inside back cover for a list of *HDRs*).
 - 7 Gaye and Jha 2010.
 - 8 Hamel 2010.
 - 9 See discussion in Donner (2008).
 - 10 IEA 2009.
 - 11 UIA 2010.
 - 12 Walton 2010: 22.
 - 13 The World Values Survey asks respondents how much freedom they have over their lives. For 87 countries the average was 7 on a 10-point scale, with a range of 5–8. The Gallup World Poll asks respondents whether they are satisfied with their freedom to choose. This freedom at the individual level does not appear to be connected with democracy at the national level.
 - 14 Since 1990 Kuwait and Samoa have extended the right to vote to women, and South Africa to Blacks.
 - 15 We present a measure that defines democracy on a minimalist basis (see Cheibub 2010, building on Alvarez and others 1996). Countries are classified as democratic if the chief executive and legislature are elected, more than one political party competes in elections and a party has transferred power in the event of a loss; otherwise, countries are identified as dictatorships. Democracies with no alternation of parties are countries that formally meet the conditions for democracy but where the ruling party has yet to lose an election and thus relinquish power. This simple measure has gained broad endorsement in the comparative political literature (see Munck and Verkuilen 2002).
 - 16 This category consists of countries that have not met the alternation rule; see the previous endnote.
 - 17 Coups took place in Honduras (1972), Chile and Uruguay (1973), Argentina (1976), Bolivia (1980) and Guatemala (1982).
 - 18 See UNDP (2009: 71), which describes political movements using this tactic.
 - 19 The Mutahidda Majlis-i-Amal (United Action Council), a coalition of religious parties, won 19 percent of national assembly seats and made greater inroads in Khyber Pakhtunkhwa and Balochistan.
 - 20 Whitehead 2002.
 - 21 Calculated from Database of Political Institutions (updated 2010) as described in Beck and others (2001).
 - 22 Bardhan and Mookherjee 2000; Abraham and Platteau 2004.
 - 23 See, for example, Besley, Pande, and Rao (2005) and Dasgupta and Beard (2007).
 - 24 Mansuri and Rao (2010), which synthesizes the results of research on the conceptual foundations and the efficacy of initiatives to foster citizen participation.
 - 25 See the 2004 *HDR* (UNDP–HDRO 2004; see inside back cover for a list of *HDRs*).
 - 26 On the limits of consultation and the problems of refugee status, see Bassel (2010).
 - 27 See Elson (2006) and O'Brien (2010). For example, Elson (2006) cites gender budget initiatives in Australia, France, Mexico, South Africa and Uganda.
 - 28 Council of Europe CDEG 2009: 41, 43; ECLAC 2010.
 - 29 Chattopadhyay and Duflo 2004.
 - 30 Gibney, Cornett, and Wood 2010.
 - 31 UNDP 2009: 6.
 - 32 ACHR 2008.
 - 33 Trends are assessed using an annual measure (created by Gibney, Cornett, and Wood 2010) based on human rights violations, as reported by Amnesty International. The measure uses a broad notion of the state, including agents that are not officially recognized as agents of the government and areas where quasi-state or extra-state entities are acting in place of a weak or fragmented central government. Countries are coded from 1 (secure rule of law prevails) to 5 (widespread political fear) based on expert assessment of the scope (type of violence), intensity (frequency) and range (share of the population targeted or selectivity) of violations. For 101 countries the median level of abuses was 3.
 - 34 Harding and Wantchekon 2010.
 - 35 See the 2000 *HDR* on human rights (UNDP–HDRO 2000; see inside back cover for a list of *HDRs*).
 - 36 Data from Amnesty International (2009b).
 - 37 Data from Gallup World Poll (2010).
 - 38 Ottoson 2009: 5.
 - 39 Amnesty International 2010.
 - 40 *HDR* 1997, 1998 and 2005 (UNDP–HDRO 1997, 1998, 2005; see inside back cover for a list of *HDRs*).
 - 41 World Bank 2005b.
 - 42 This calculation uses the loss from the Inequality-adjusted HDI presented in chapter 5.
 - 43 Paul Krugman has often referred to this fact as evidence of increasing inequality in the United States (see, for example, Krugman 2007); United States Census Bureau 2008.
 - 44 World Bank 2005b.
 - 45 Results using data from World Bank (2010g) showed a similar pattern with a smaller sample.
 - 46 Milanovic 1998.
 - 47 Atkinson and Micklewright 1992.
 - 48 ADB 2007; Liu 2010; The broad picture is consistent with the Kuznets (1955) hypothesis that inequality would increase at the initial stages of economic development and then decline, but the empirical evidence is mixed.
 - 49 Pinkovskiy and Sala-i-Martin 2010.
 - 50 López-Calva and Lustig 2010; Cornia 2010.
 - 51 Jayadev and Rodríguez 2010. These results are robust to adjusting for the contribution of self-employment to capital income.
 - 52 Commander 2010. The exceptions are the Scandinavian countries and Belgium.
 - 53 There is considerable debate in the literature on ethics and justice on whether the fairness of distributive arrangements should be evaluated at the global or national level. If the justice of institutions is to be judged at the level at which the social contract is conceptualized, the national level is appropriate, while a cosmopolitan position would suggest that the global level is the relevant one for assessment. See Risse (2009) for a discussion of these issues for international migration.
 - 54 Pinkovskiy and Sala-i-Martin 2009; Milanovic 2009; Anand and Segal 2008. See the 2009 *HDR* (UNDP–HDRO 2009; see inside back cover for a list of *HDRs*).
 - 55 Pineda and Rodríguez 2006; Bénabou 2000; Alesina and others 1996.
 - 56 Deaton 2007; Sen, Iyer, and Mukherjee 2009.
 - 57 Narayana 2008; Minujina and Delamonica 2003; see also Cornia, Rosignoli, and Tiberti (2007).
 - 58 K. Stewart 2010.
 - 59 Joe, Mishra, and Navaneetham 2009.
 - 60 Gwatkin and others 2007.
 - 61 Houweling and others 2007.
 - 62 Measure DHS 2010.
 - 63 Thomas, Wang, and Fan (2001), and personal communication with Robert Barro and Jong-Wha Lee.
 - 64 Harttgen and Klasen 2010.
 - 65 Considering the 2003 HDI ranking as presented in the 2005 *HDR* (UNDP–HDRO 2005; see inside back cover for a list of *HDRs*) since the Demographic and Health Survey for Burkina Faso used in the example is for 2003.
 - 66 See Stewart, Brown, and Mancini (2005), Roemer (1998), and Barros and others (2008).
 - 67 Stewart 2009.
 - 68 UNDP 2003.
 - 69 UNESCO 2009: 64, 65.
 - 70 See the 2009 *HDR* (UNDP–HDRO 2009; see inside back cover for a list of *HDRs*).
 - 71 K. Stewart 2010; Wood and others 2009.
 - 72 Burd-Sharps and others 2010.
 - 73 Sen 2003; *The Economist* 2010.
 - 74 We follow the more recent practice in these estimates of treating sex-selective abortions as female deaths. This differs from the practice of demographers who distinguish foetal deaths from mortality (for example, Shryock and Siegel 1980). An alternative approach would consider the ramifications of gender discrimination for mortality across genders and age groups. To the best of our knowledge the implications of such an approach have yet to be worked out. See also Coale (1991).
 - 75 This calculation assumes that in the absence of sex-selective abortions a woman would have an equal probability of giving birth to a girl or a boy. See also Klasen and Wink (2009).
 - 76 Nussbaum 2005.
 - 77 WHO 2005.
 - 78 Desai 2010.
 - 79 Agarwal and Panda 2007.
 - 80 UNIFEM 2010.
 - 81 UNIFEM 2010.
 - 82 UNDESA–DAW–CSW 2010.
 - 83 Cuno and Desai 2009.
 - 84 UN 2009.
 - 85 World Bank 2010f.
 - 86 LIS 2009.
 - 87 OECD 2009.
 - 88 UNDESA 2009a.
 - 89 Fuentes-Nieva and Seck 2010.
 - 90 Skoufias 2003.
 - 91 WCED 1987.
 - 92 Information about global employment trends is weak outside developed countries because of differences in definition and data collection methods and lags. Official estimates of unemployment are especially problematic in countries with extensive informal sectors and no formal safety nets. See ILO (2009b).
 - 93 See IMF (2009) for a comparison between the crises.
 - 94 Reinhart and Rogoff 2009.
 - 95 ILO 2010b; World Bank 2010b.
 - 96 World Bank 2009c.
 - 97 One example of how policy intervention and good initial conditions enabled some countries to overcome the negative impacts of the crisis is China, whose growth is high (8.7 percent for 2009 and an expected 10 percent for 2010), driven mostly by infrastructure lending. See IMF (2010b).
 - 98 This was a common pattern in past crises: Thailand reduced its health spending 9 percent and education spending 6 percent in response to the East Asian crisis in 1998; health expenditures in Mexico fell 15 percent during the Tequila crisis (see Calvo 2010).
 - 99 ILO 2009.
 - 100 IMF 2009; Horváth, Ivanov, and Peleah 2010.
 - 101 Cord and others 2009; Marone, Thelen, and Gulasan 2009.
 - 102 Rodrik 1998.
 - 103 Commander 2010.
 - 104 Commander 2010; Freeman 1998.
 - 105 See www.doingbusiness.org/.
 - 106 Salehi-Isfahani 2010.

- 107 Blanchard 2008; Commander 2010.
- 108 Sirimanne 2009: 4.
- 109 ILO 2009.
- 110 Ablett and Slengesol 2000.
- 111 Walker and others 2007.
- 112 Ferreira and Schady 2008; FAO 2010a.
- 113 Harper and others 2009.
- 114 Heyzer and Khor 1999; Knowles, Pernia, and Racelis 1999.
- 115 van der Hoeven 2010.
- 116 Baird, Friedman, and Schady 2007: 26.
- 117 Calvo 2010.
- 118 UNICEF 2010a.
- 119 UNICEF 2010b.
- 120 Walton 2010; Lustig 2000.
- 121 UN 2010b.
- 122 Fuentes-Nieva and Pereira 2010.

Chapter 5

- 1 See for example, Narayan and others (2000) and UNDESA (2009b).
- 2 Because the aspects of well-being and inequality measured by the GII differ from those measured by the IHDI, the associated loss in achievement can be higher than the loss in human development captured by the IHDI.
- 3 Foster, López-Calva, and Szekely 2005. See also Alkire and Foster (2010).
- 4 The measure is the general mean of general means, a class of measures derived from Atkinson's (1983) seminal work on the measurement of inequality. Its basic desirable properties are path independence (the order of aggregation across populations and dimensions can be altered without affecting the value of the IHDI) and subgroup consistency. See *Technical note 2* for further details.
- 5 Calculating the IHDI requires setting a parameter that captures how much people dislike inequality. The parameter can range from 0 to infinity; we use a value of 1. This fairly mild adjustment for inequality moderately penalizes inequality in each dimension; see *Technical note 2* for more details. The choice of parameter involves a normative judgement analogous to that for other policy-relevant norms—for example, in establishing a threshold for relative and absolute poverty. It also reflects judgement about how much inequality matters. The academic literature addresses both theoretical and empirical issues (see Atkinson 1983 and Pirttilä and Uusitalo 2010). Another strand of the literature attempts to distinguish between inequality that is justified and inequality that is not (see Roemer 1998). Social preferences for redistribution have been examined based on the tax and transfer systems in place (see Bourguignon and Spadaro 2005).
- 6 Because of the multiplicative form of the HDI and the IHDI, the loss in HDI due to inequality $(1 - \text{IHDI}/\text{HDI})$ falls between the minimum and the maximum loss in dimensions.
- 7 Narayana 2008.
- 8 That is, the implicit welfare function is separable for the various dimensions of the IHDI (Atkinson and Bourguignon 2000).
- 9 Anand and Sen 1995.
- 10 See Charmes and Wieringa (2003), who review the GDI and GEM to construct the African Gender and Development index for the Economic Commission for Africa, and Klasen (2006) on the GDI and GEM.
- 11 Hawken and Munck (2009) and Klasen and Schüler (2010) provide useful reviews.
- 12 Various other gender indices have adopted this approach—including Social Watch's Gender Equity Index and the World Economic Forum's Global Gender Gap Index.
- 13 See *Technical note 3*. The aversion towards gender inequality parameter is set at 2 while the aversion towards overlapping deprivation is set at 1.
- 14 Seth 2009.
- 15 While indicators in other dimensions are compared between men and women, indicators of reproductive health are compared to thresholds of no maternal death and no teenage pregnancy.
- 16 The risk of maternal death is five times higher in teen births, in part because girls' bodies are not yet fully developed (see Rowbottom 2007). We use the adolescent fertility rate for girls ages 15–19. Fertility for girls below age 18 would be preferable, but these data are not available.
- 17 ILO 2010c. This figure differs from the global female labour force participation rate of 56.8 percent presented in statistical table 4 because of different schema used to weight country-specific female labour force participation rates.
- 18 Desai 2010.
- 19 The GDI relied on the gender ratio of nonagricultural wages, but the nonagricultural formal sector is limited in size in many developing countries and the gap may not have been representative of the overall picture.
- 20 This is not driven solely by the fact that both measures of inequality are (negatively) correlated with HDI: the correlation between the residuals of both inequality measures on the HDI is 0.48, which is significant at 1 percent.
- 21 Compared with *HDR 2009* (UNDP–HDRO 2009; see inside back cover for a list of *HDRs*), the total coverage is lower than that for the GDI (155) but well above that for the GEM (109). As noted earlier, the previous approach relied heavily on imputations, which is not the case for the GII. The countries lacking sufficient data to adjust for the GII have HDI ranks from 6 (Lichtenstein) to 164 (Guinea-Bissau).
- 22 This is echoed in Pogge (2009: 21): “A credible index of development must be sensitive to whether an increase in literacy goes to landowners or the landless, an improvement in medical care goes to children or to aged, an increase in enrolment to privileged university students or to children in slums, an increase in life expectancy to the elite or to the marginalized, enhanced physical security to males or to females.”
- 23 Alkire and Foster 2009; Alkire and Santos 2010; Bourguignon and Chakravarty 2003; Brandolini and D'Alessio 2009.
- 24 Anand and Sen 1997.
- 25 See for example, Kanbur and Squire (2001) and Micklewright and Stewart (2001).
- 26 Population figures refer to 2010. This assumes that the poverty rates in the year of the most recent survey (which goes back as far as 2000) adequately reflect poverty today. Because none of these surveys post-dates the more recent economic crisis, these may well be underestimates.
- 27 The average HDI of countries where the MPI headcount exceeded \$1.25 a day poverty rate was 0.49; the average for countries where income poverty exceeded the MPI headcount was 0.60.
- 28 Income poverty estimates of less than \$1.25 a day exclude the following countries because of lack of data: Belize, Czech Republic, Guyana, Iraq, Mauritius, Myanmar, Occupied Palestinian Territories, Somalia, Suriname, Syrian Arab Republic, Trinidad and Tobago, United Arab Emirates and Zimbabwe. Excluding these countries, the total number of multidimensionally poor people is 1,719 million, which is still between the two income poverty estimates. For the income poverty estimates of less than \$2 a day the countries excluded because of lack of data are Guinea, Guyana, Haiti, Iraq, Lao PDR, Mauritania, Mauritius, Myanmar, Namibia, Somalia, Syrian Arab Republic, Trinidad and Tobago, United Arab Emirates and Zimbabwe. Excluding these countries, the total number of multidimensionally poor people is 1,699.5 million, which again is between the two income poverty estimates.

- 29 This terminology follows government categories, which are defined officially and vary by state.
- 30 Some experts have argued that inequality among poor people should be reflected in a measure of poverty, but this requires using cardinal measures, and the MPI would be sensitive to the scale in which these measures are defined. See Alkire and Foster (2009) for a discussion.

Chapter 6

- 1 Asher and Daponte 2010.
- 2 An alternative approach using the projections for component variables produced by international organizations and independent forecasters yielded similar projections. See Asher and Daponte (2010).
- 3 Maddison 2007.
- 4 Nelson and others 2009.
- 5 Cline 2008.
- 6 Rodríguez 2007.
- 7 Deaton 2010; Ravallion 1996.
- 8 Rodrik and Hausmann 2003; Rodrik 2007. See also box 3.1 in chapter 3.
- 9 Easterly 2002.
- 10 Ostrom 1996; Parks and others 1999; Pestoff 2009.
- 11 Drèze and Sen 2002; Sen 1985b.
- 12 UNDP 2010.
- 13 Walton 2010.
- 14 Rodrik 2003.
- 15 Evans 2010.
- 16 Pritchett, Woolcock, and Andrews 2010.
- 17 Pritchett, Woolcock, and Andrews 2010.
- 18 Panagariya 2008; Damodaran 2008.
- 19 Vaughan 2003.
- 20 Watson and Yohannes 2005.
- 21 Iglehart 2010.
- 22 The White House 2010.
- 23 Di Tella and Dubra 2009.
- 24 See Rajan and Zingales (2003) on the threat of oligarchic capitalism, and Walton (2010) for an overview.
- 25 These principles are associated with the work of Sen (1999), Unger (1998), and Jayadev (2010).
- 26 Birdsall 2008.
- 27 World Bank 2010e. The size of the carbon market (\$144 billion) exceeds total official development assistance for 2009 (\$136 billion).
- 28 See www.oslocfc2010.no.
- 29 Ethiopia's figure is for 2002, the latest year available.
- 30 UNAIDS 2008; The Global Fund 2009.
- 31 Wolf 2007; Asiedu and Nandwa 2007; d'Aiglepiepierre and Wagner 2010.
- 32 Levine 2004.
- 33 OECD/DAC 2010b.
- 34 Sachs and others 2004. In particular, aid provided for military and political considerations or other geopolitically motivated reasons tends to be negatively associated with growth (Minouin and Reddy 2010).
- 35 Easterly 2006; Moyo 2009.
- 36 World Bank 2010d.
- 37 See OECD (2008a), which is based on a survey of 33 OECD partner countries.
- 38 For example, see www.aidtransparency.net.
- 39 This is shown by the burgeoning literature in the field, published in such scholarly journals as the *Journal of Human Development and Capabilities* or presented at the annual meetings of the Human Development and Capabilities Association. For an anthology of some key contributions, see Fukuda-Parr and Shiva Kumar (2003).

- 40 Living Standards Measurement Study surveys have been conducted in 40 countries since 1980 (www.surveynetwork.org); Demographic and Health Surveys are available for 82 countries (www.measuredhs.com/countries); and Multiple Indicator Cluster Surveys are available for more than 70 countries (www.childinfo.org/mics_available.html).
- 41 The Missing Dimensions programme of the Oxford Poverty and Human Development Initiative is seeking to rectify this gap for empowerment, work quality, physical safety, dignity and other areas (www.ophi.org).
- 42 OECD 2010.
- 43 Naturally, this should build on the existing literature (such as Ranis, Stewart, and Ramirez 2000; Bourguignon and others 2008; and Kenny 2008). Various global and National HDRs describe the causal chains through which economic growth addresses core human priorities—for example, by creating jobs for poor people, empowering women within the household and contributing revenue for social investment, social protection and redistribution.
- 44 For basic expositions, see Jones (2002) and Barro and Sala-i-Martin (2003). Most theoretical and empirical growth analysis is based on variants of the Ramsey-Cass-Koopmans model in which a representative agent maximizes a discounted sum of the utility of consumption.
- 45 See, for example, Diener and Seligman (2004) and Gough and McGregor (2007).
- 46 Neumayer 2010b.
- 47 Southgate 1990; Mink 1993.
- 48 Comin, Hobjin, and Rovito 2008; Córdoba and Ripoll 2008; Duarte and Restuccia 2006.
- 49 Barro 1991; Barro and Lee 1994.
- 50 Ibrahim and Alkire 2007; Alsop and Heinsohn 2005; Narayan 2005.
- 51 The sample was drawn from civil society organizations that have consultative status with the United Nations. The survey, prepared in three languages, had 644 respondents and a response rate of 29 percent. The best represented region was Western Europe (30 percent of respondents), followed by North America (26 percent) and Africa (17 percent).
- 52 Eyben 2004
- 53 Bassel 2008a, 2008b.
- 54 Gaye and Jha 2010; PNUD México 2003; PNUD Argentina 2002.
- 55 Nussbaum 2000; Osmani and Sen 2003; Klasen 2002; Robeyns 2003.
- 56 Stuckler, Basu, and McKee 2010; Mejía and St-Pierre 2008; Piketty 2000.
- 57 Bourguignon and Verdier 2000; Acemoglu and Robinson 2002.
- 58 Ivanov and Peleah 2010.
- 59 The relationship between competition and growth is complex and potentially nonlinear. See Aghion and Griffith (2005).
- 60 According to results from the Gallup World Poll, less than half of people around the world feel that the area where they live is becoming more liveable, only 4 in 10 feel that economic conditions in their country are getting better, and just half are satisfied with environmental preservation efforts.
- 61 Stiglitz and Members of the UN Commission of Financial Experts 2010.
- 62 Hoddinott and Quisumbing 2010.
- 63 Anand and Sen 2000a; Sen 2009b.
- 64 See www.earthsummit2012.org/.
- 65 King 1964.

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