

# **Human Rights and Governance: The Empirical Challenge**

**Daniel Kaufmann**  
*World Bank Institute*

[www.worldbank.org/wbi/governance/](http://www.worldbank.org/wbi/governance/)

*Presentation at “Human Rights and Development: Towards Mutual Reinforcement”* Conference, Ethical Globalization Initiative and The Center for Human Rights and Global Justice, New York University Law School  
New York, March 1<sup>st</sup>, 2004

Note: Presentation based on the draft research paper prepared for this conference, with initial empirical results. Data subject to margins of error, and thus caution is warranted. Presentation and paper are subject to change. Views and errors are responsibility of the author and do not necessarily reflect those of management or the Board.

# **Human Rights and Governance:** *Initial Empirical Exploration*

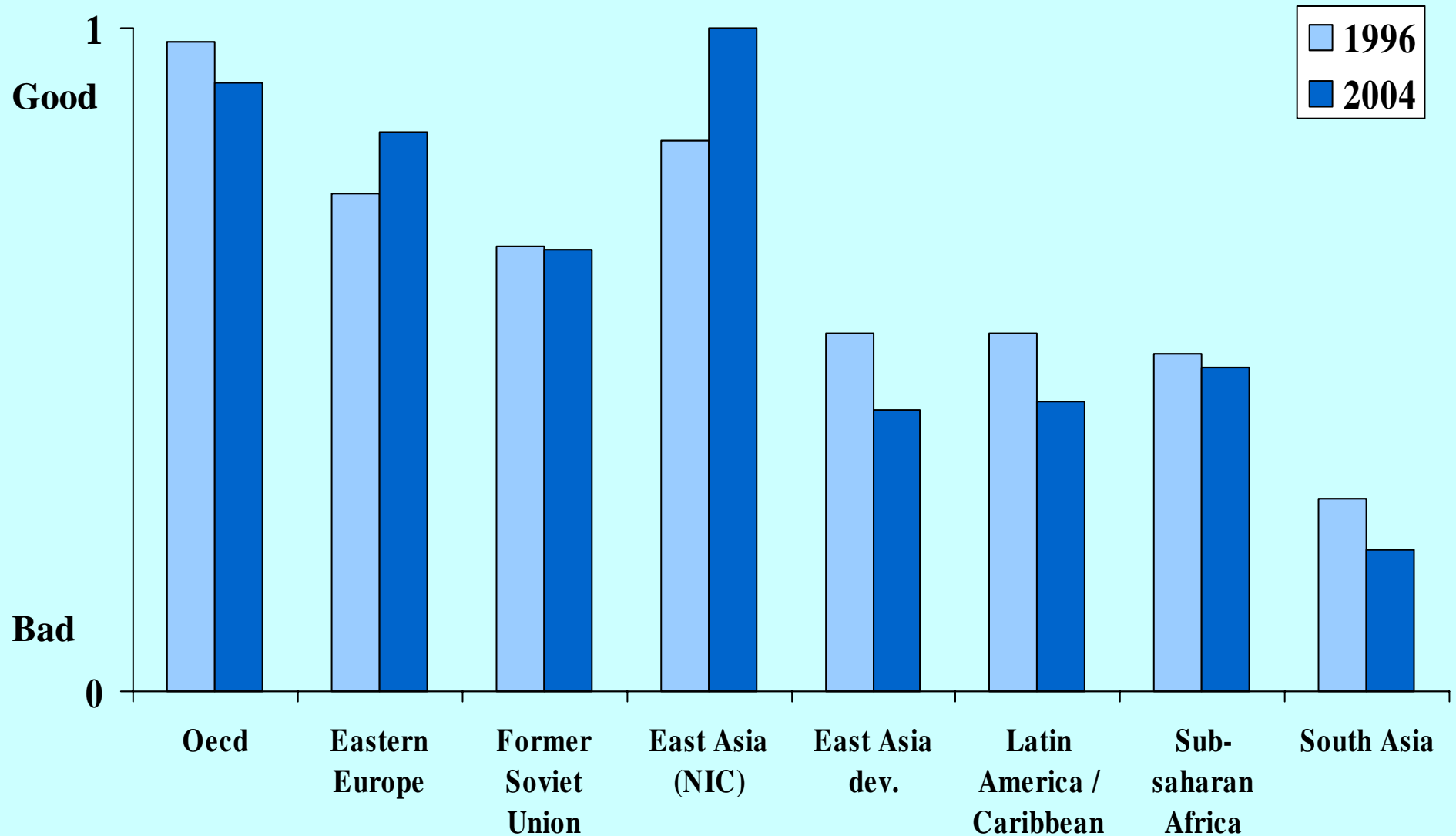
**Power of Data – & towards empirical analysis**

- 1. ‘Unbundle’ and initial exploration of trends**
- 2. Assess links across different types and Generations of Human Rights (1<sup>st</sup>GHRs & 2<sup>nd</sup>GHRs)**
- 3. Study links between Human Rights and Governance/Rule of Law/Anti-Corruption**
- 4. Disentangling Causality Direction of linkages**
- 5. Initial Implications for discussion on aid effectiveness**

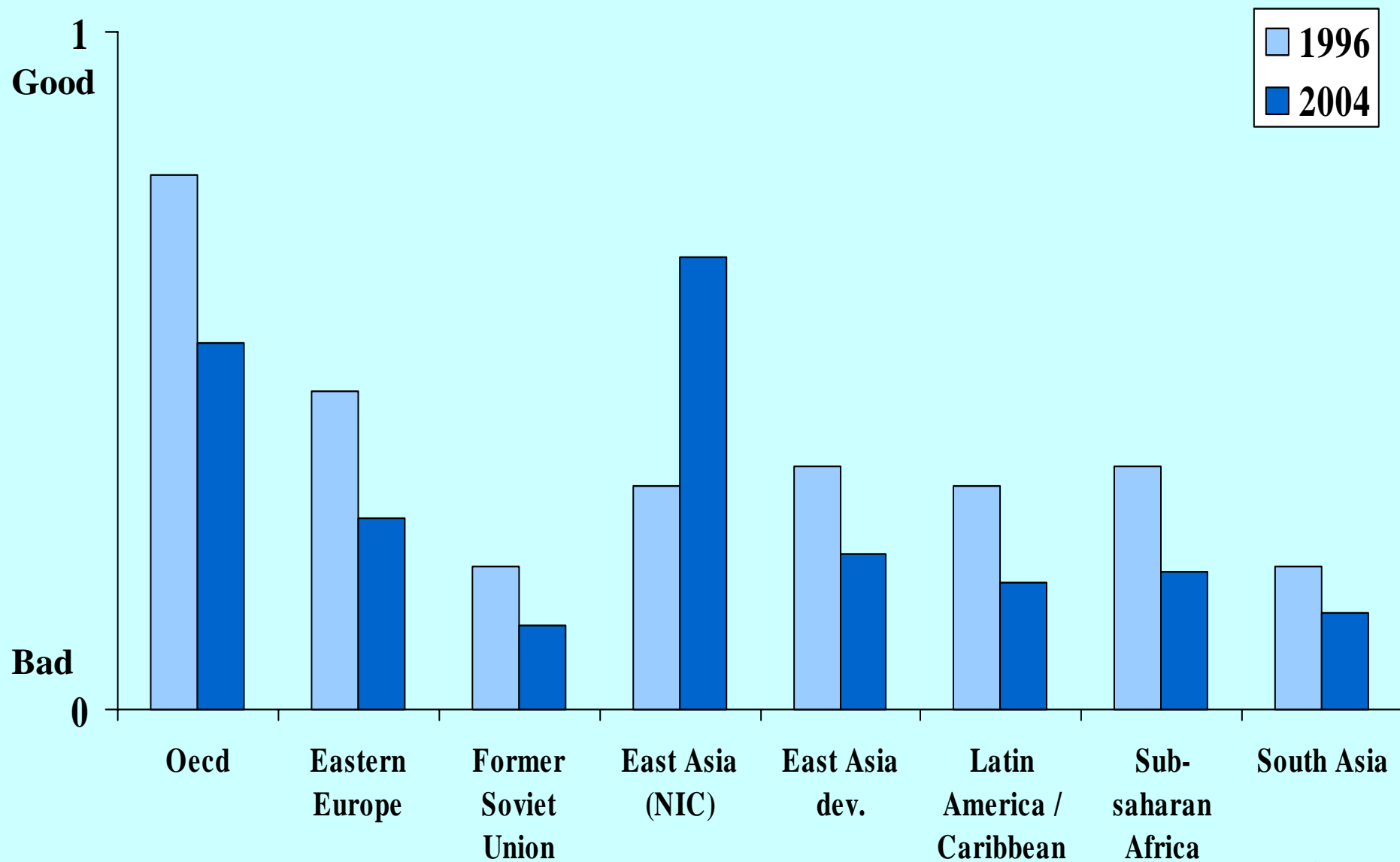
# **Data Sources used in initial exploration**

- **‘Macro’: i) SUNY data coding extension (from Amnesty and US State Dept.);**
  - ii) KK Aggregate Governance Indicators;**
- **‘Micro’, 1-- project: 1500 WBank-funded projects**
- **‘Micro’ 2 -- firms: worldwide enterprise surveys**
- **‘Micro’ 3 – country-based public officials surveys**

# Human Rights; 1<sup>st</sup>GHR (1): Absence of Killings

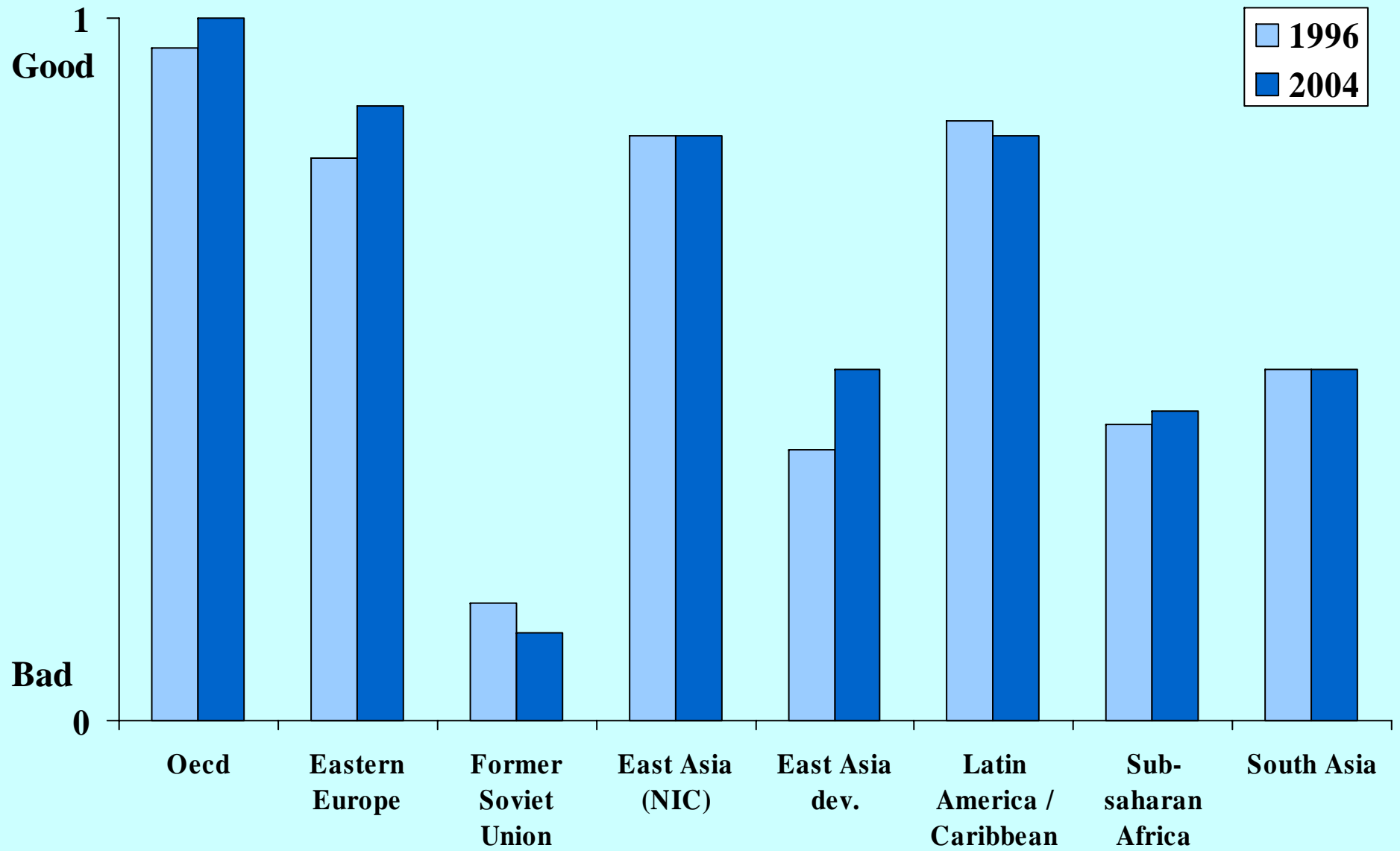


# Human Rights; 1<sup>st</sup>GHR (3): Absence of Torture



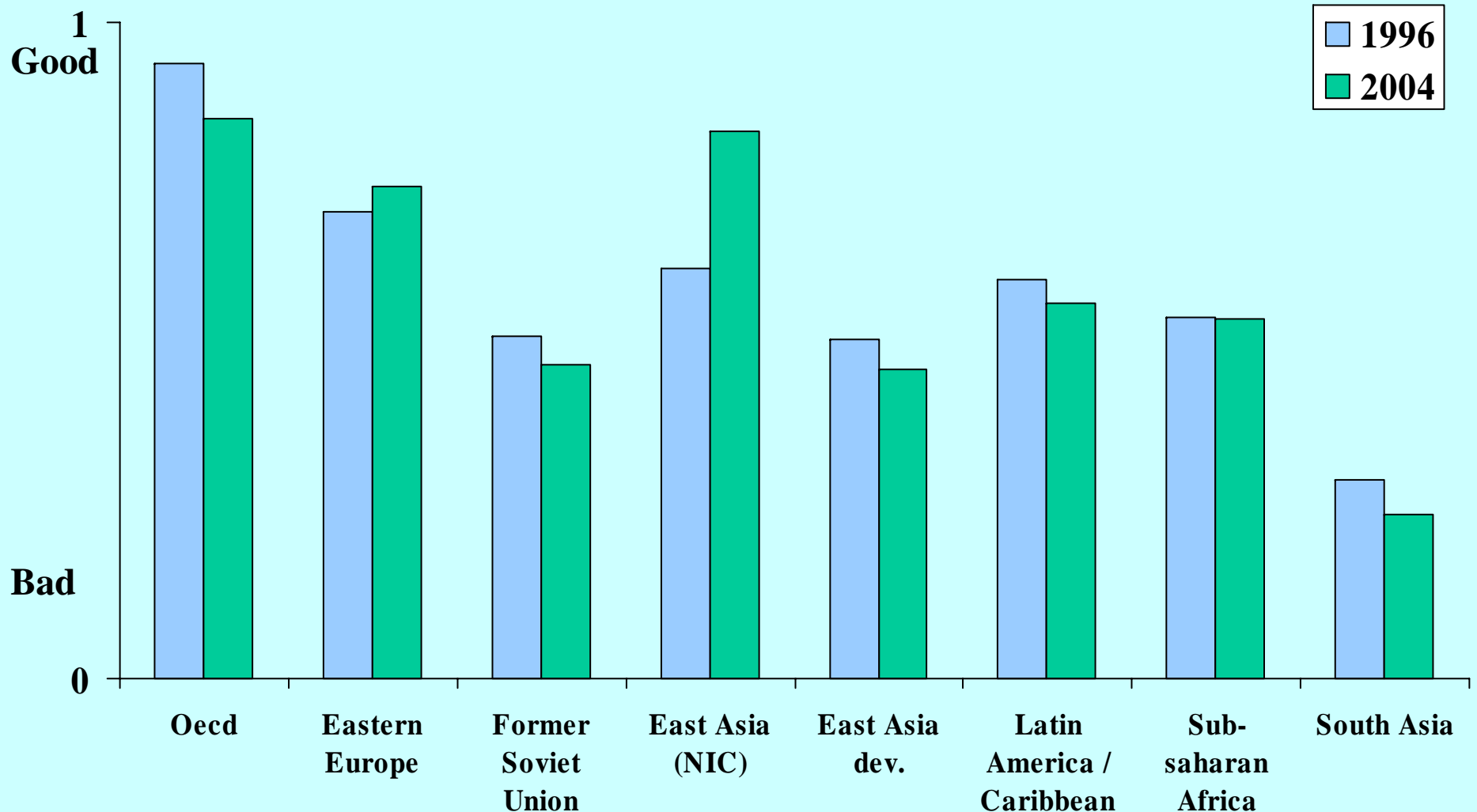
Source: Cingranelli / Richards dataset – <http://www.humanrightsdata.com>. A high value reflects respect for human rights.

# Human Rights; 1<sup>st</sup>GHR (4): Political Participation

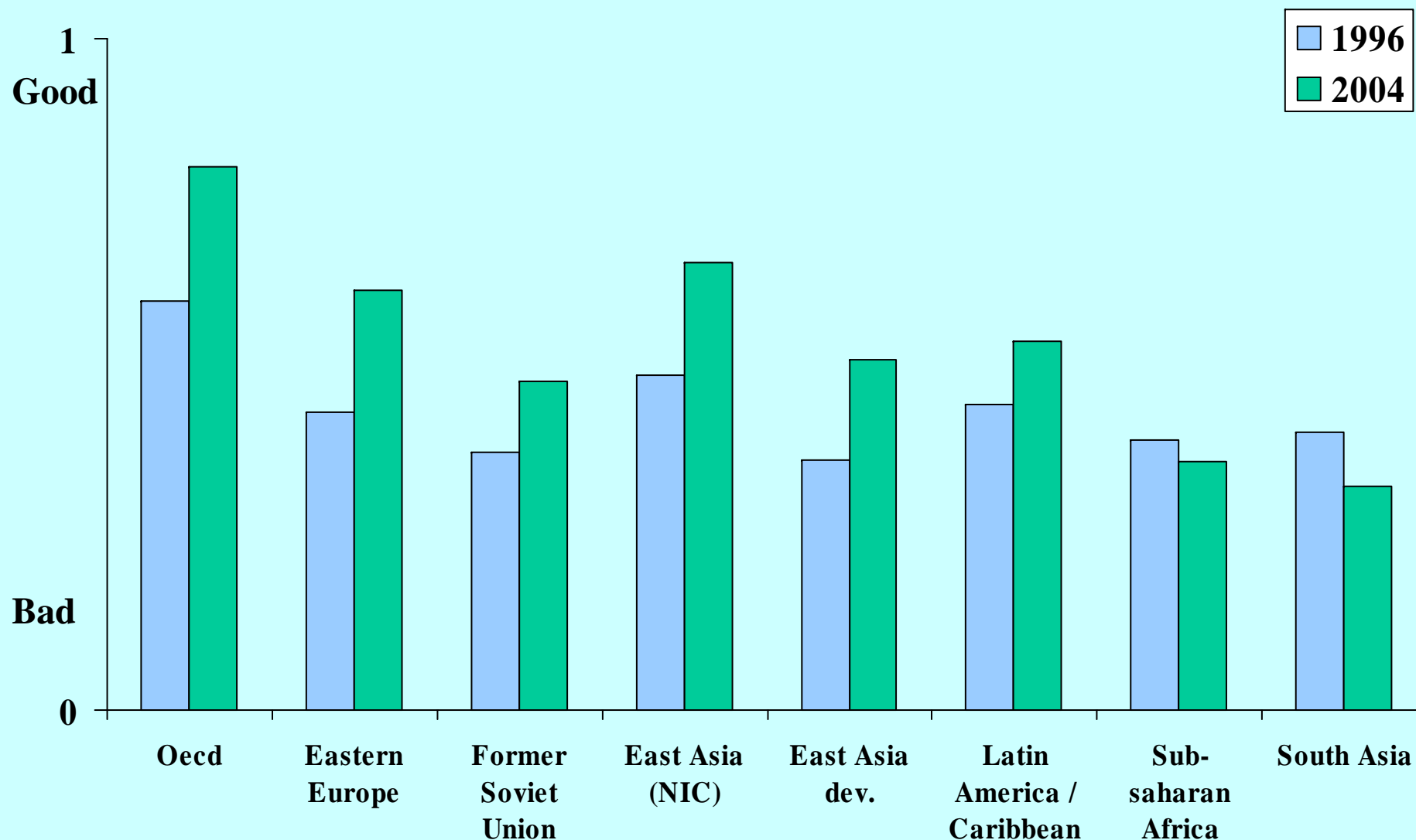


Source: Cingranelli / Richards dataset – <http://www.humanrightsdata.com>. A high value reflects respect for human rights.

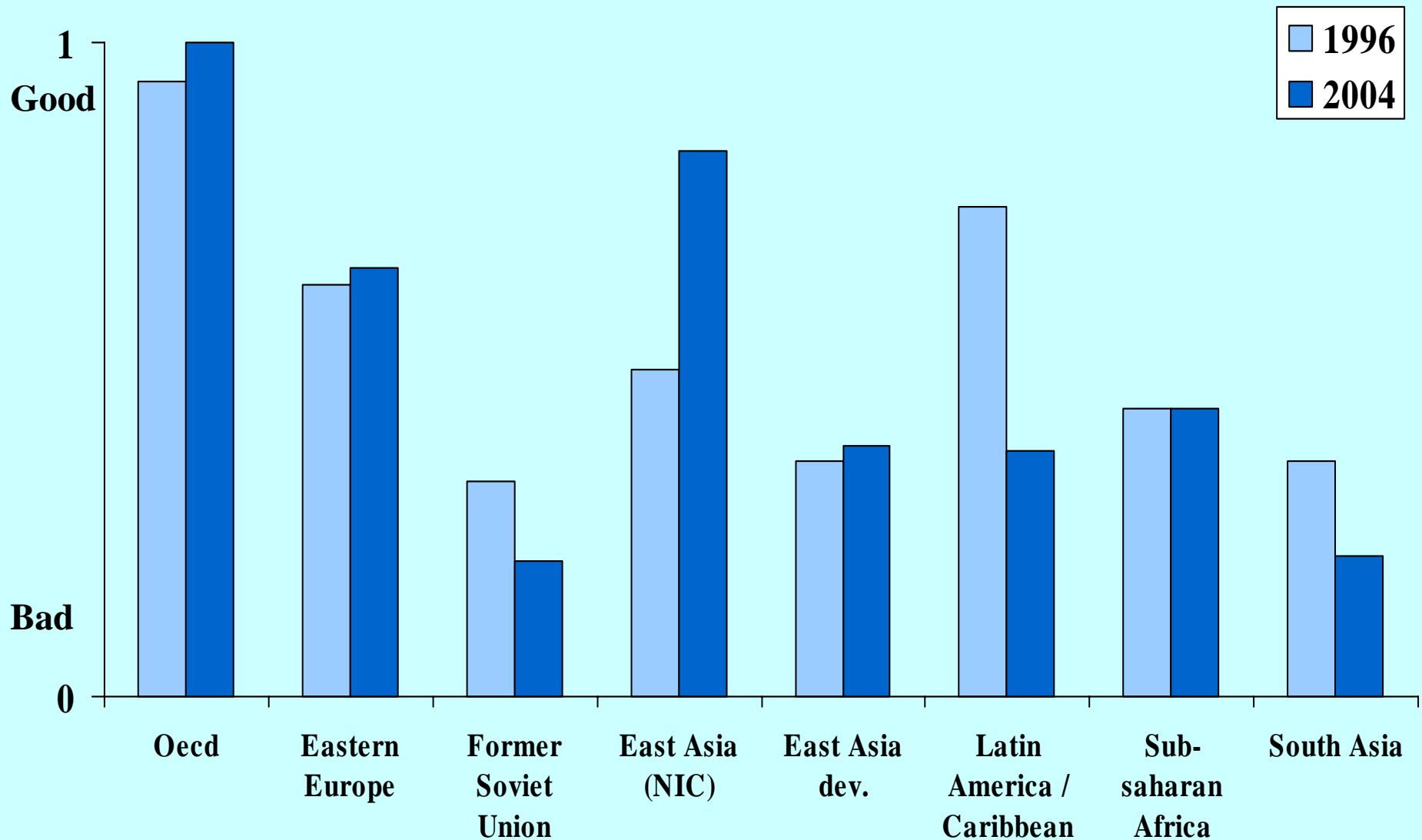
# Human Rights; 1<sup>st</sup>GHR: Life Protection *(Composite of Absence of Killings, Absence of Disappearances, Absence of Torture, & Absence of Imprisonments)*



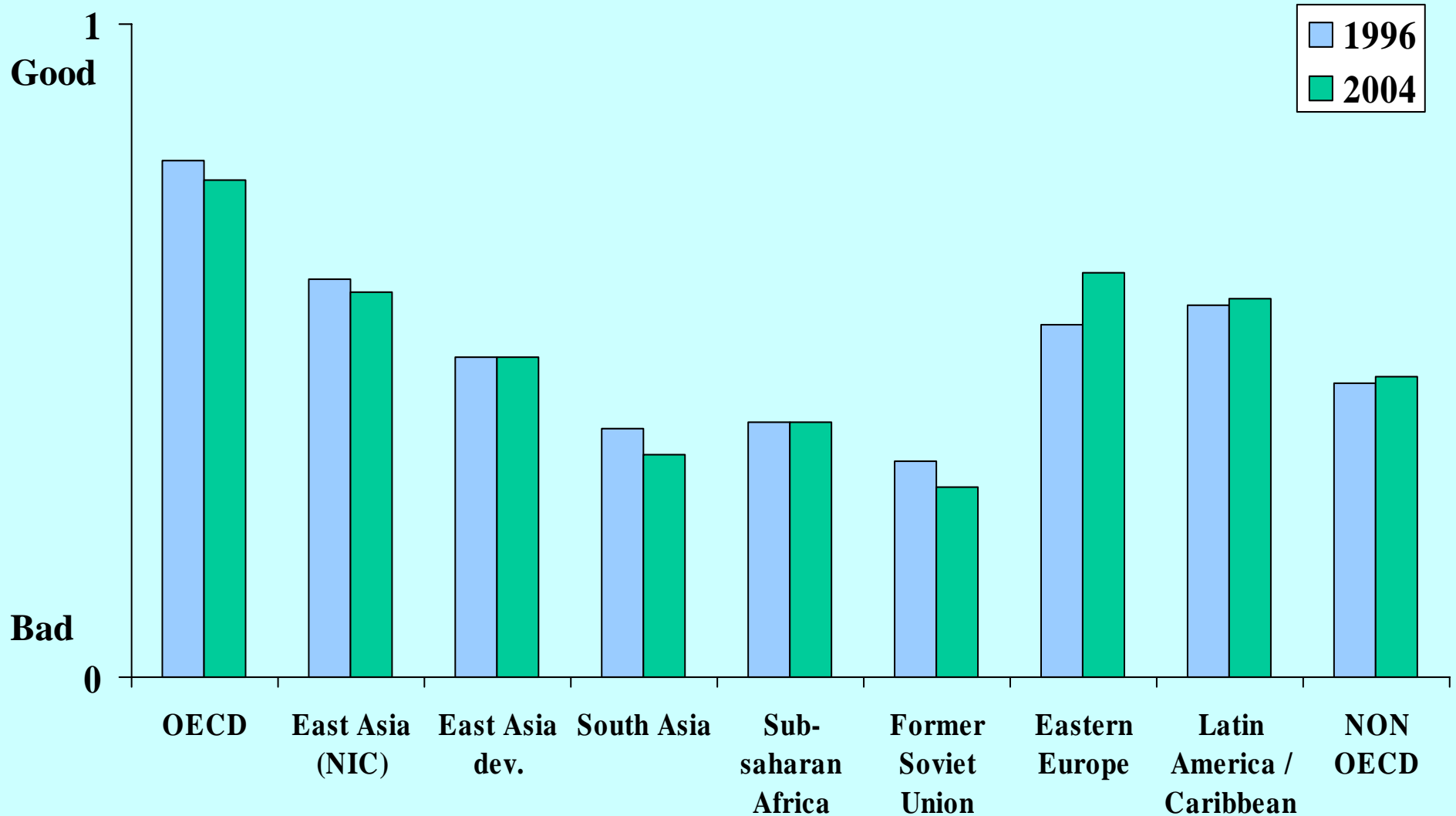
# Human Rights; 1<sup>st</sup>GHR: Women's Rights (*Composite of Economic, Social, and Political Rights*)



# Human Rights; 1<sup>st</sup> Generation (9): Government Censorship

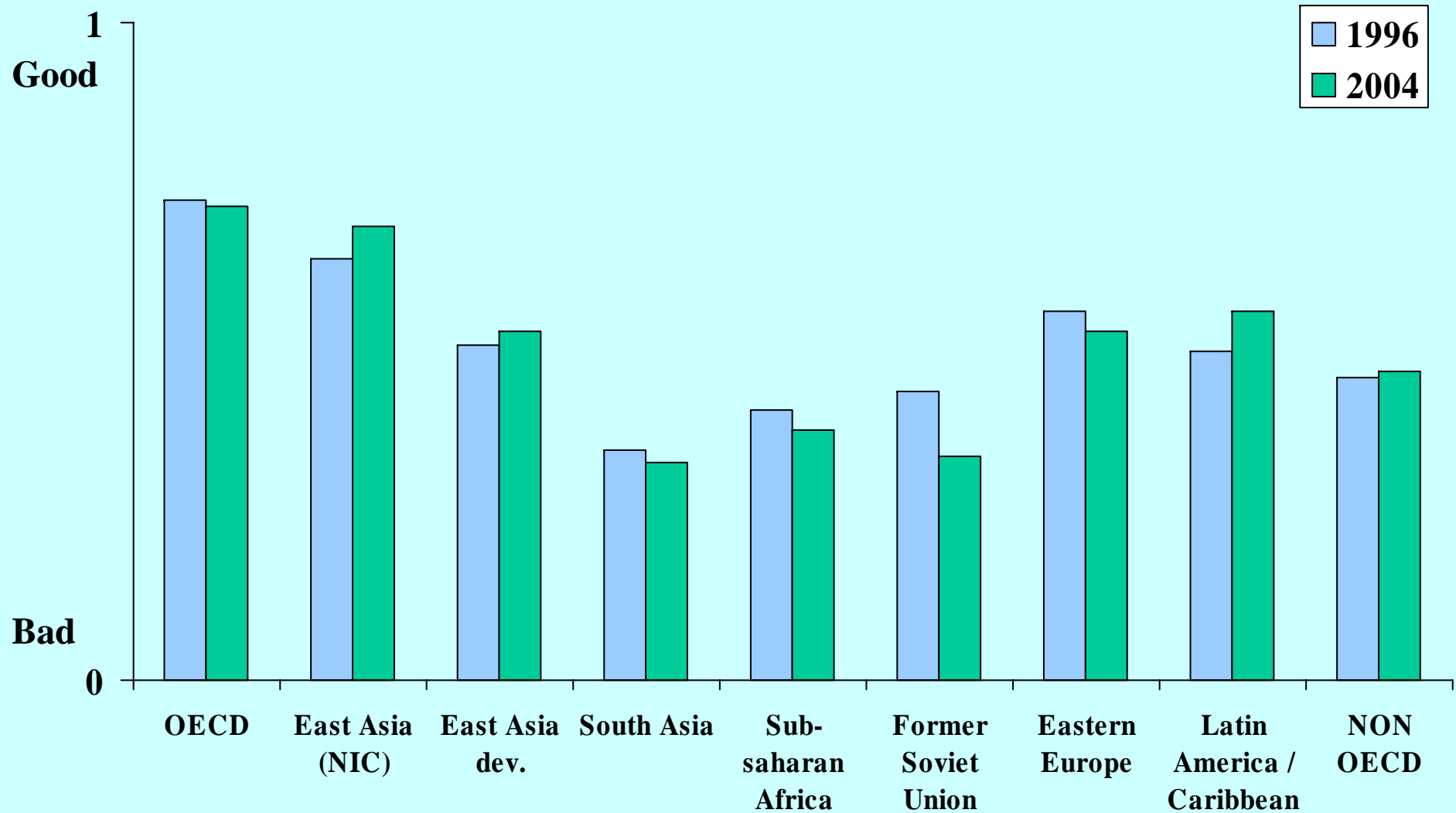


# Voice and Accountability, 1996/2004



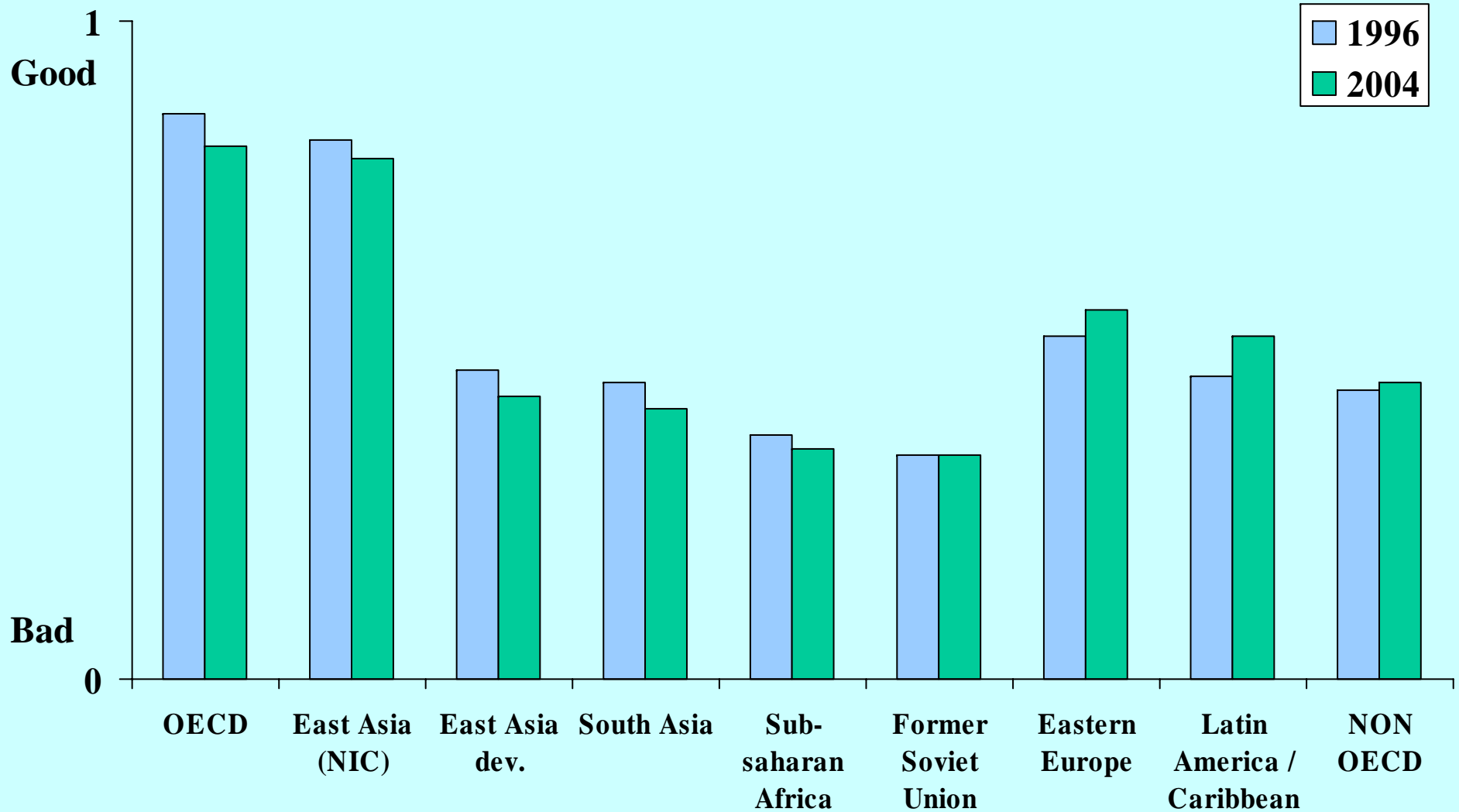
Source: Kaufmann, Kraay and Mastruzzi, Governance Matters IV (2005), <http://www.worldbank.org/wbi/governance/pubs/govmatters4.html>. Please note the values are rescaled from the original to 0-1. However they are not strictly comparable with the other 5 indicators in panels A-E because they are from a different source.

# Political Stability, 1996/2004



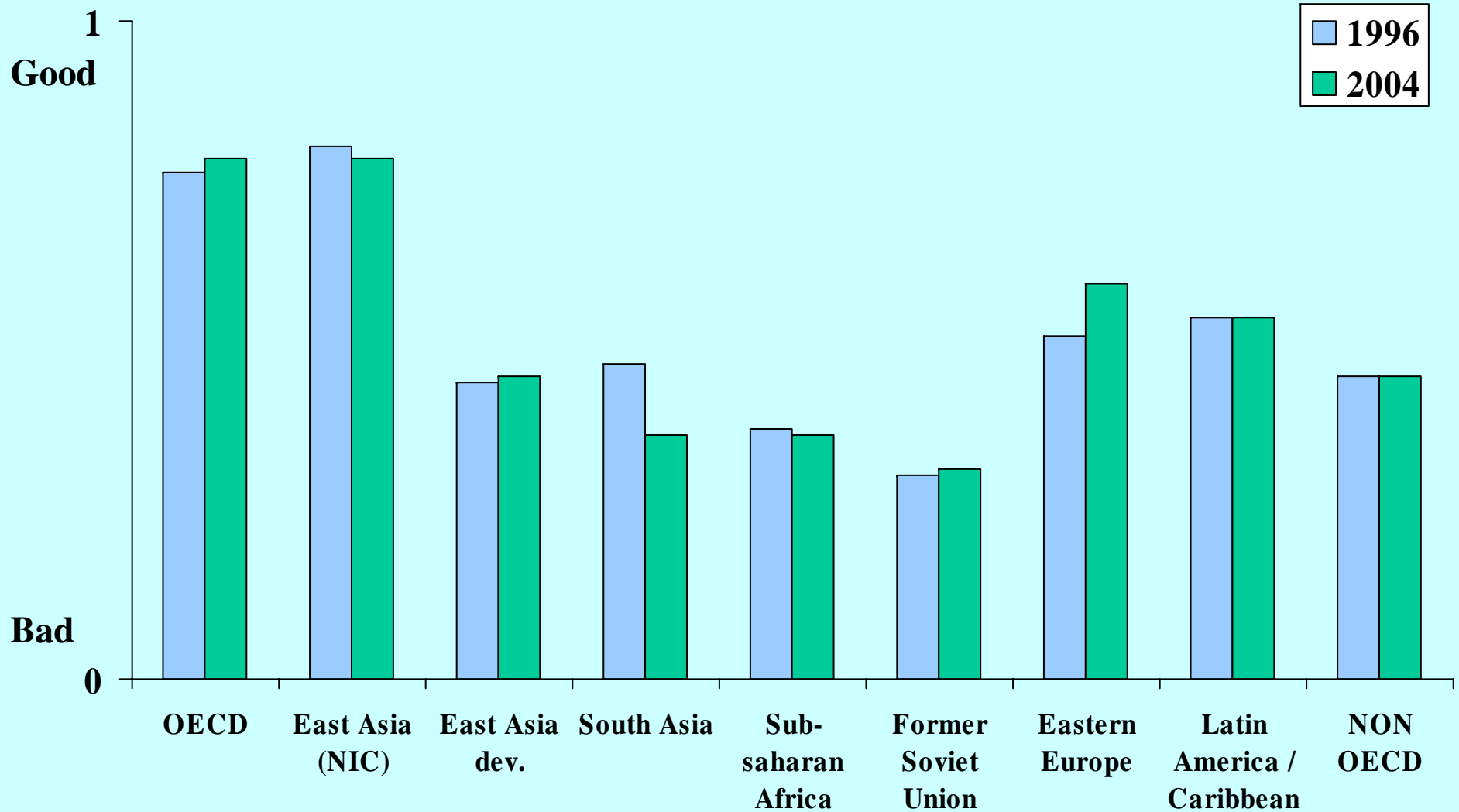
Source: Kaufmann, Kraay and Mastruzzi, Governance Matters IV (2005), <http://www.worldbank.org/wbi/governance/pubs/govmatters4.html>. Please note the values are rescaled from the original to 0-1. However they are not strictly comparable with the other 5 indicators in panels A-E because they are from a different source.

# Government Effectiveness, 1996/2004



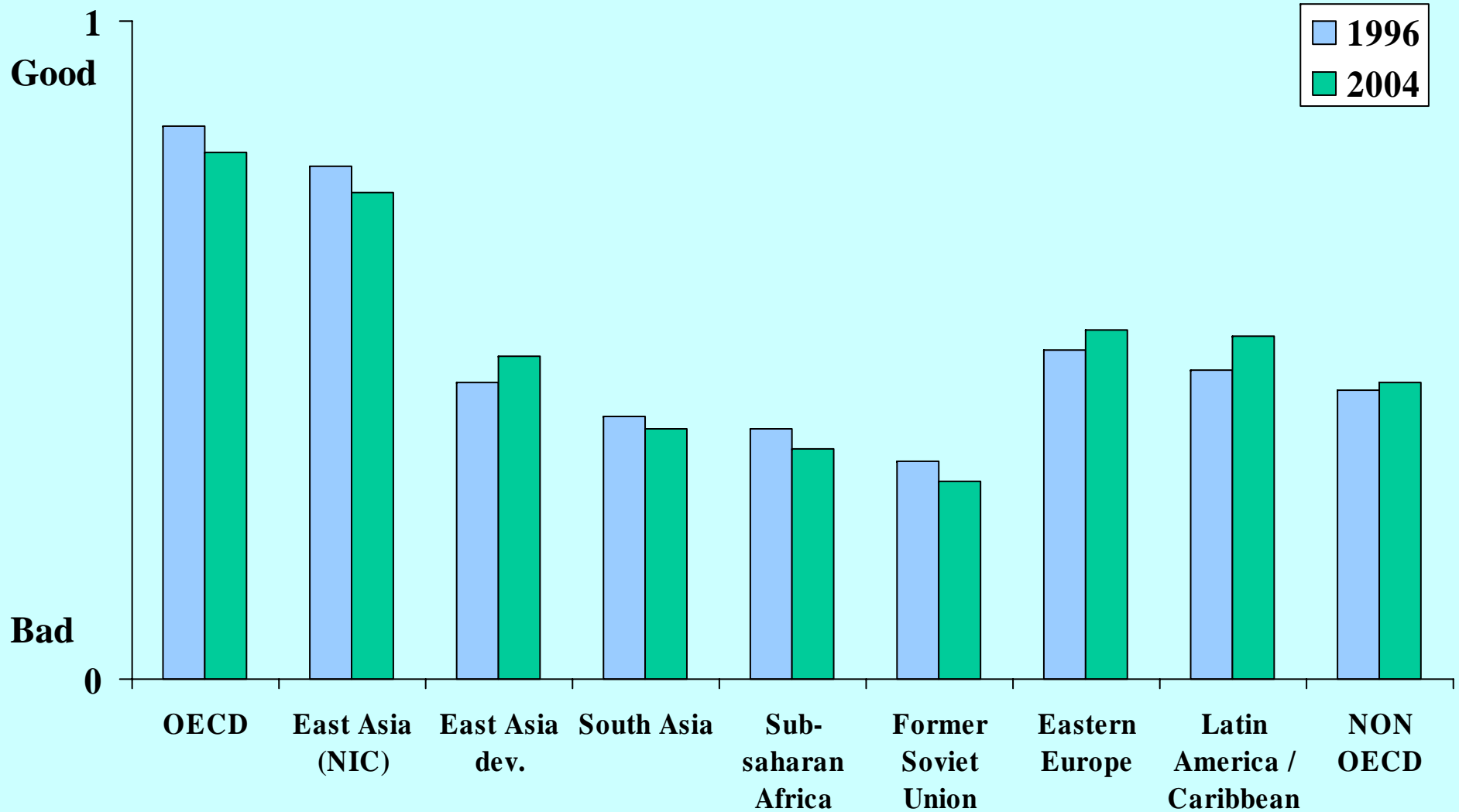
Source: Kaufmann, Kraay and Mastruzzi, Governance Matters IV (2005), <http://www.worldbank.org/wbi/governance/pubs/govmatters4.html>. Please note the values are rescaled from the original to 0-1. However they are not strictly comparable with the other 5 indicators in panels A-E because they are from a different source.

# Regulatory Quality, 1996/2004



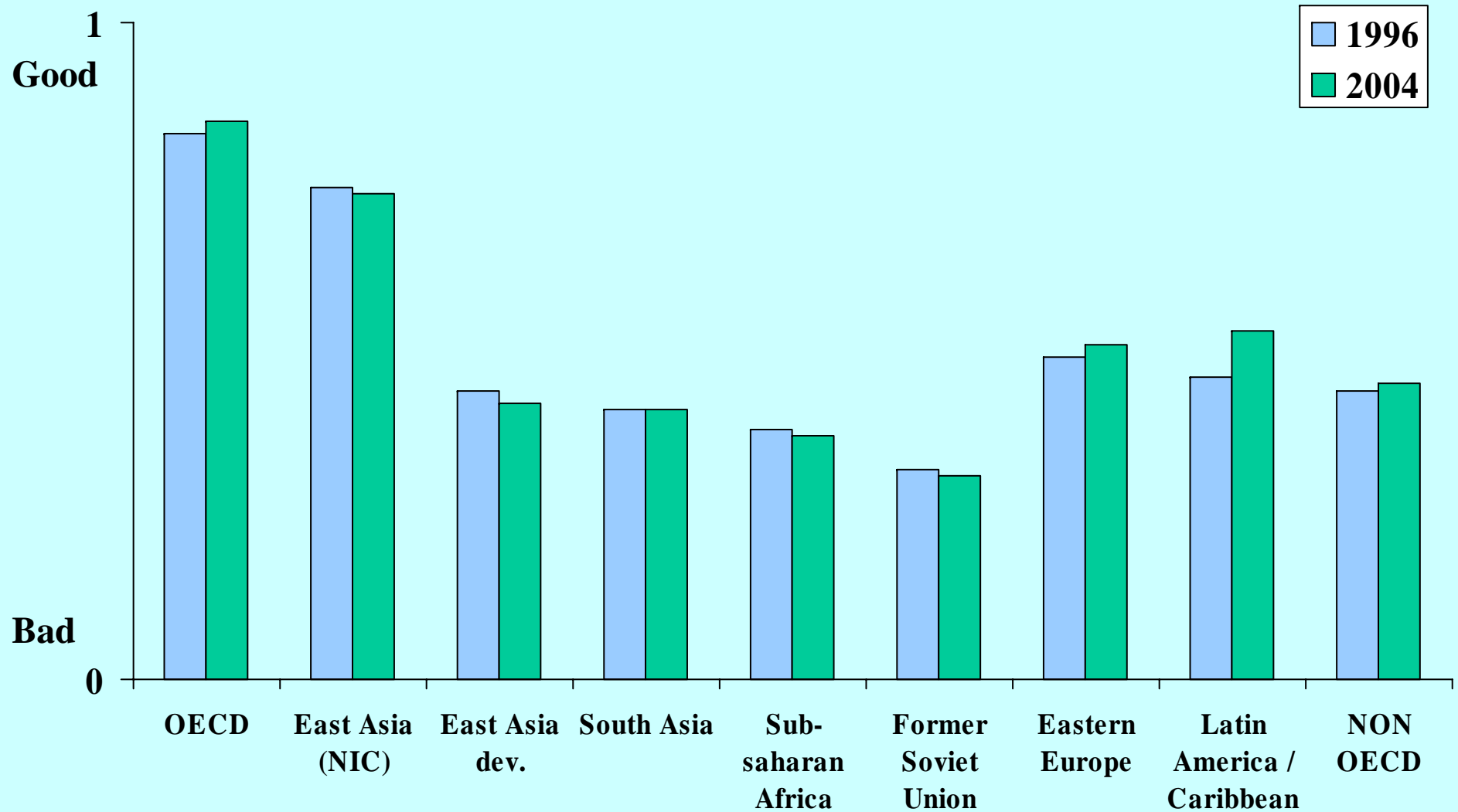
Source: Kaufmann, Kraay and Mastruzzi, Governance Matters IV (2005), <http://www.worldbank.org/wbi/governance/pubs/govmatters4.html>. Please note the values are rescaled from the original to 0-1. However they are not strictly comparable with the other 5 indicators in panels A-E because they are from a different source.

# Rule of Law, 1996/2004



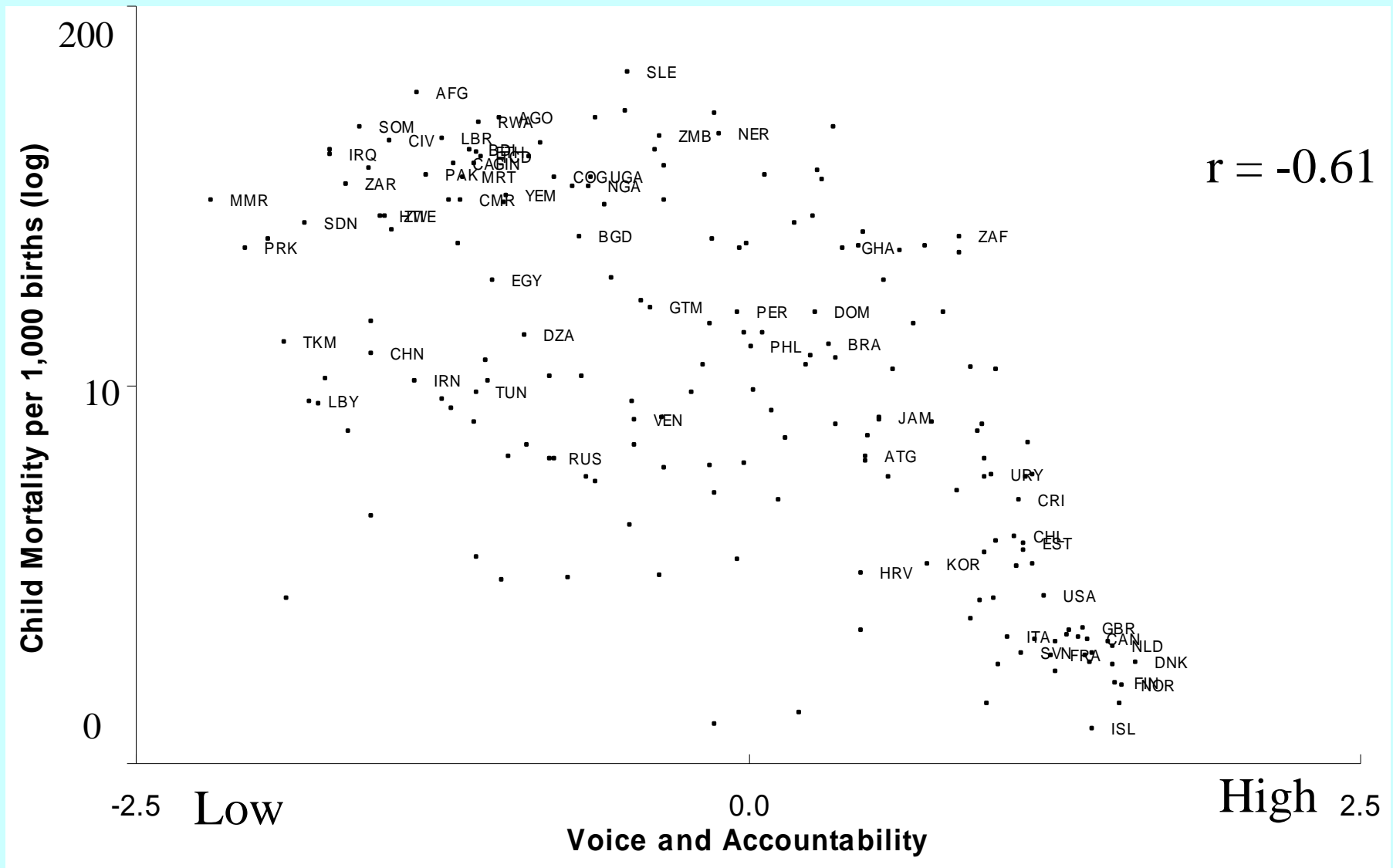
Source: Kaufmann, Kraay and Mastruzzi, Governance Matters IV (2005), <http://www.worldbank.org/wbi/governance/pubs/govmatters4.html>. Please note the values are rescaled from the original to 0-1. However they are not strictly comparable with the other 5 indicators in panels A-E because they are from a different source.

# Control of Corruption, 1996/2004



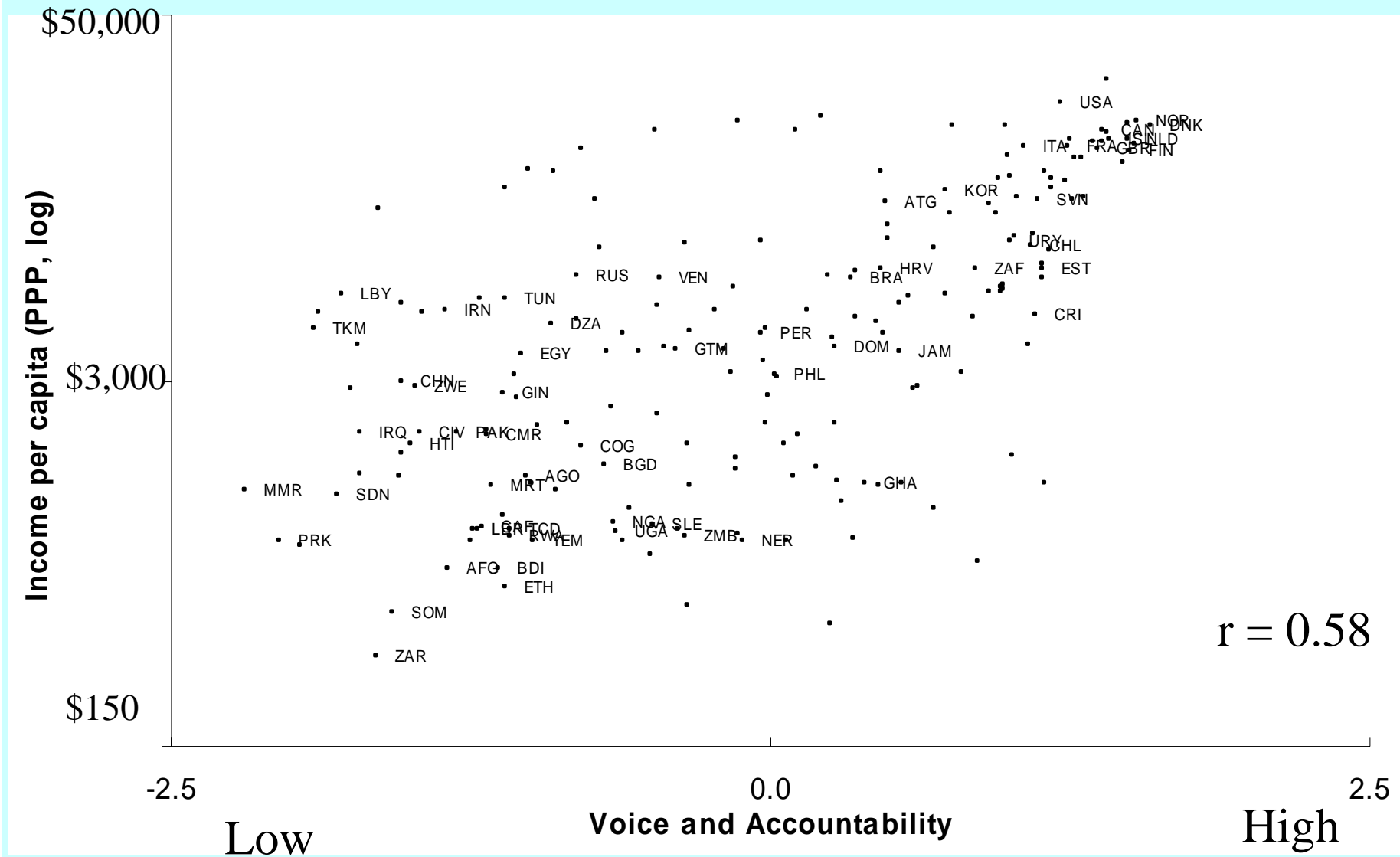
Source: Kaufmann, Kraay and Mastruzzi, Governance Matters IV (2005), <http://www.worldbank.org/wbi/governance/pubs/govmatters4.html>. Please note the values are rescaled from the original to 0-1. However they are not strictly comparable with the other 5 indicators in panels A-E because they are from a different source.

# Child Mortality vs. Voice & Accountability, 2004



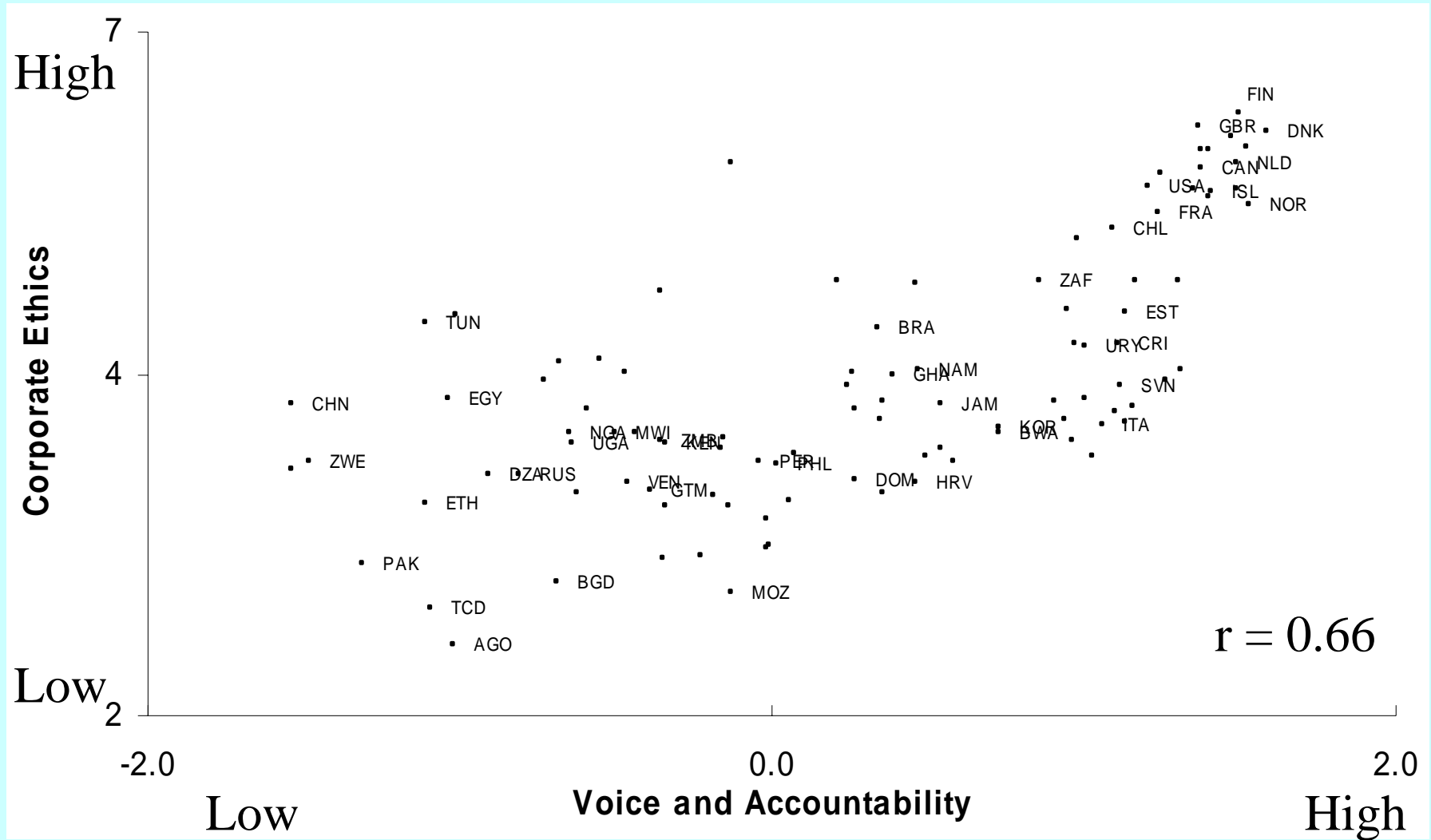
Source: KK 2004, WDI 2003

# Income per Capita vs. Voice & Accountability, 2004



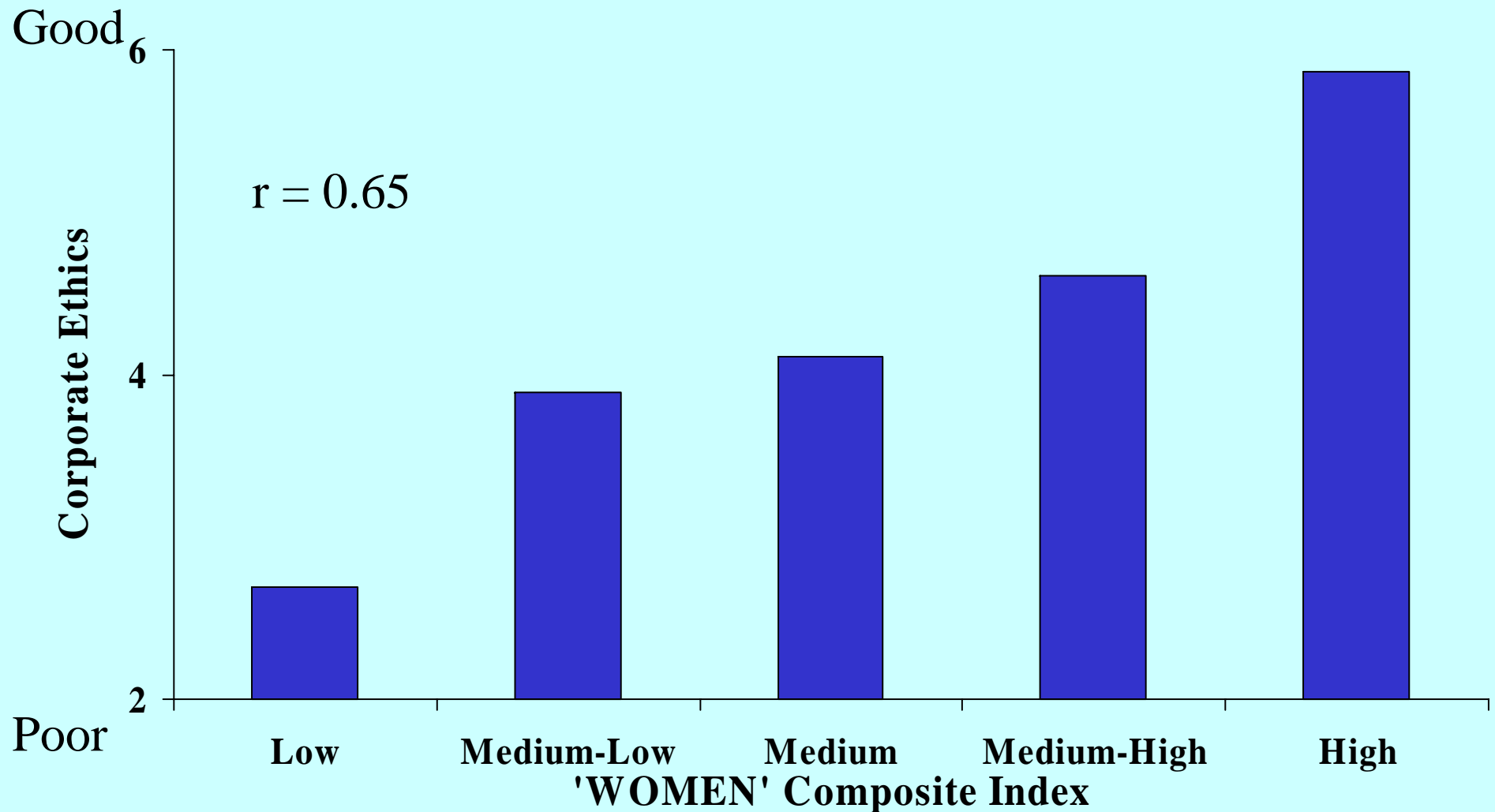
Source: KK 2004, Heston-Summers & CIA World Factbook

# Corporate Ethics vs. Voice & Accountability, 2004



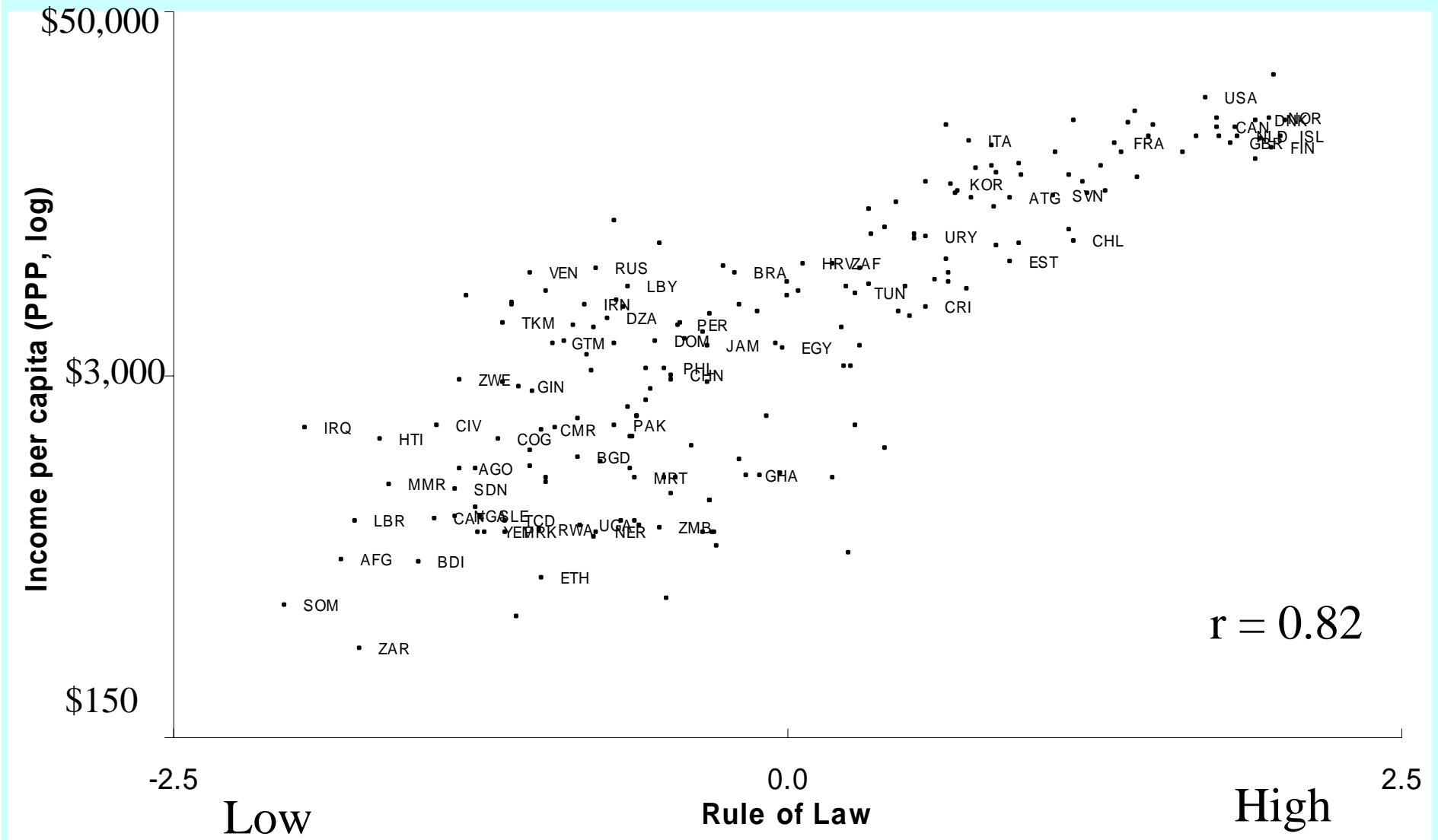
Corporate ethics drawn from EOS 2004. Question: “The corporate ethics (ethical behavior in interactions with public officials, politicians and other enterprises) of your country’s firms in your industry are among the world’s worst / best.”  
 Voice and Accountability drawn from KK 2004.

# Corporate Ethics vs. Human Rights ('Women'), 2004



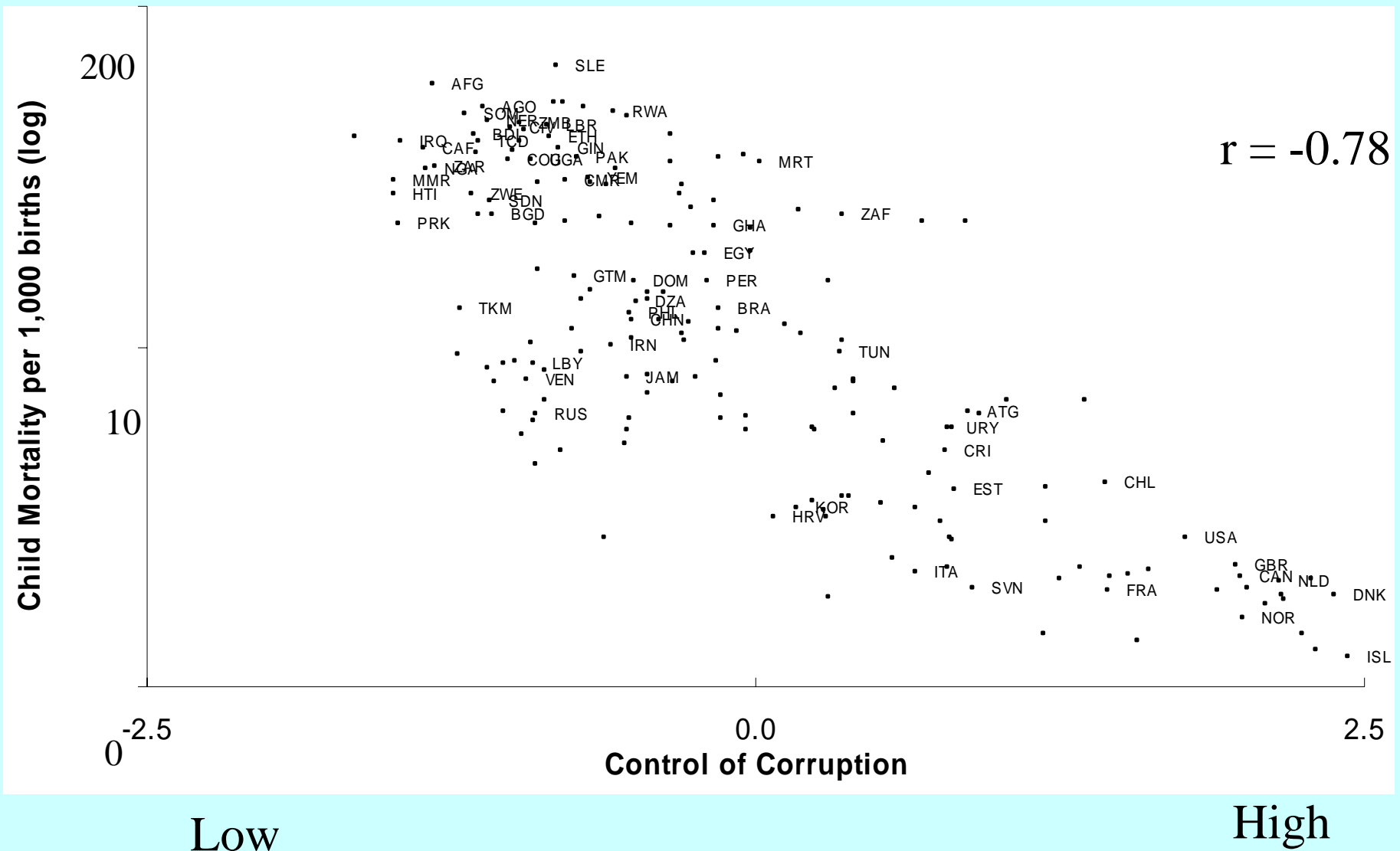
Source: Cingranelli / Richards dataset – <http://www.humanrightsdata.com>. "WOMEN" is a composite indicator combining average country ratings for three categories: women's political rights, women's economic rights and social equality of women. Corporate ethics drawn from EOS 2004. Question: "The corporate ethics (ethical behavior in interactions with public officials, politicians and other enterprises) of your country's firms in your industry are among the world's worst/best."<sup>19</sup>

# Income per Capita vs. Rule of Law, 2004



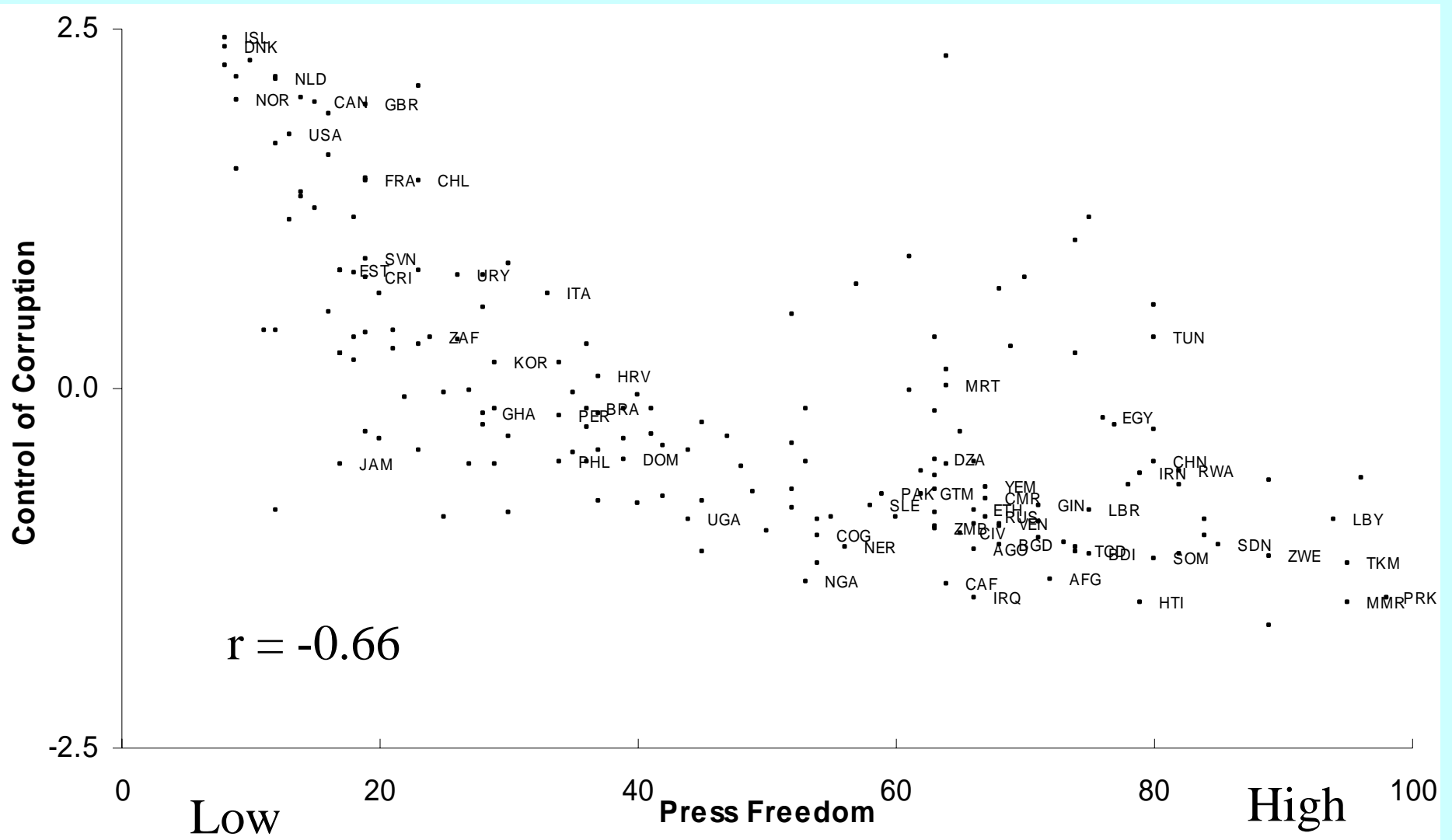
Source: KK 2004, Heston-Summers & CIA World Factbook

# Child Mortality vs. Control of Corruption



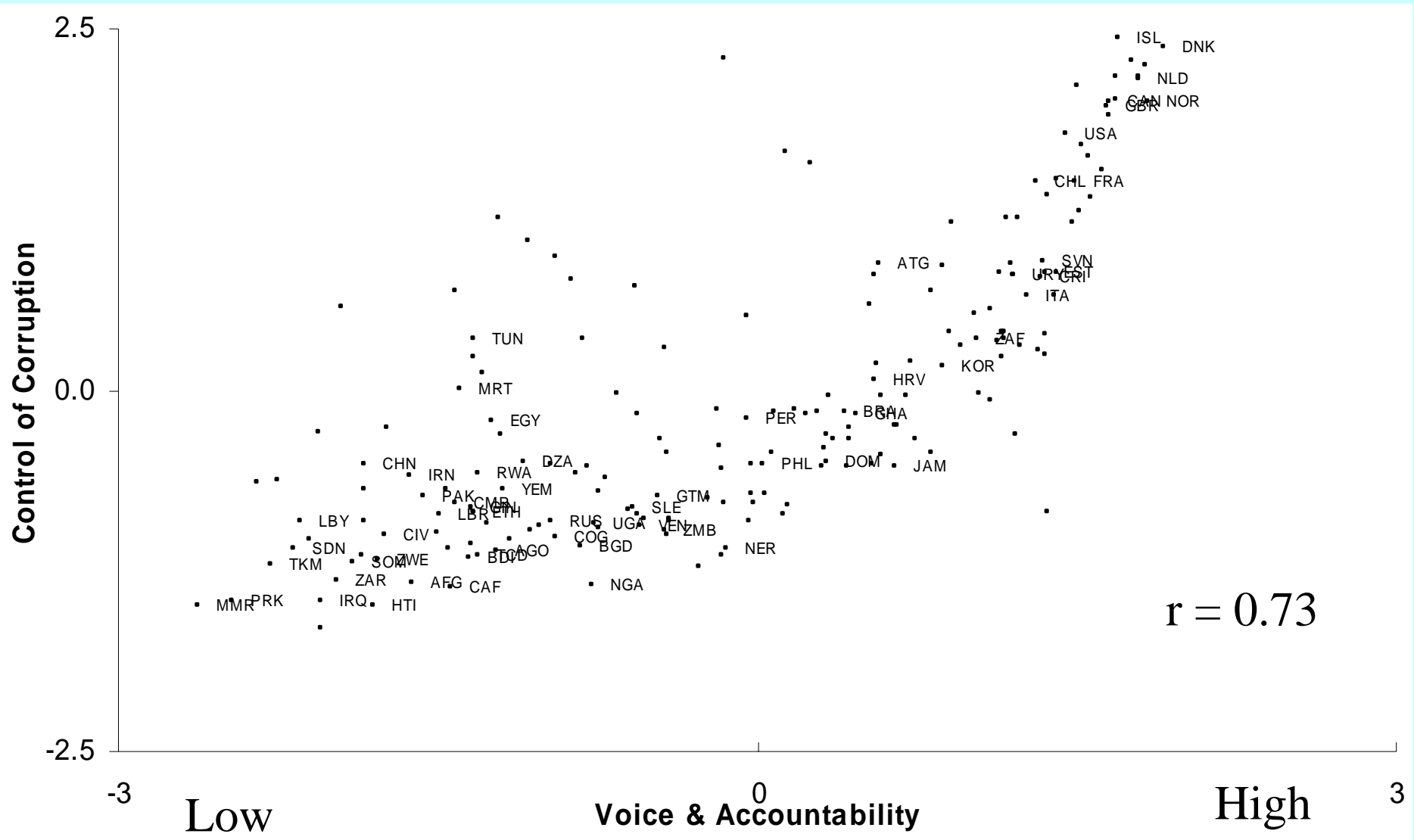
Source: KK 2004, WDI 2003

# Press Freedom vs. Control of Corruption



Source: KK 2004, Freedom House 2004

# Voice & Accountability vs. Control of Corruption



Source: KK 2004

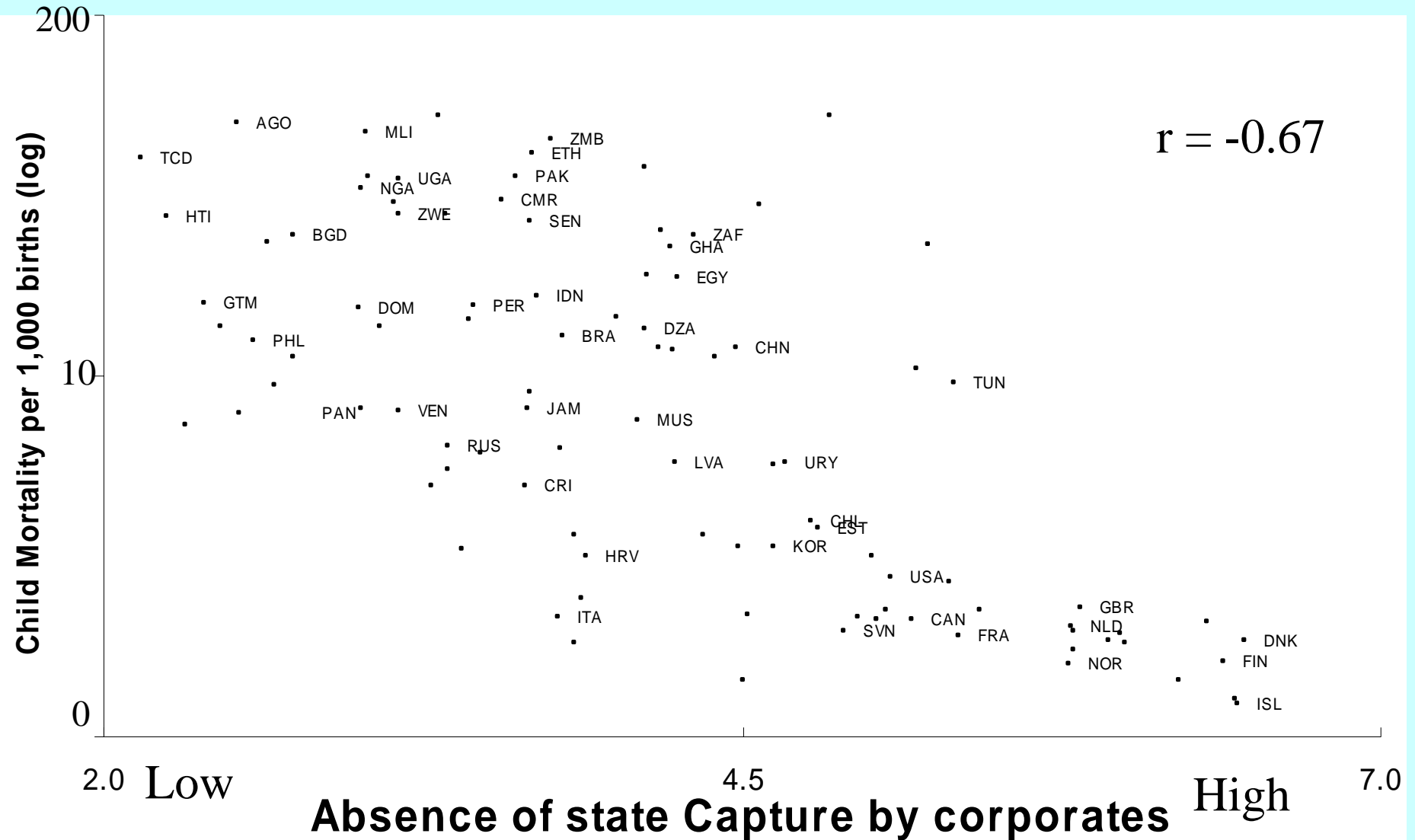
# Child Mortality vs. Rule of Law



Source: KK 2004, WDI 2003

# Child Mortality vs. 'Grand' (*Corporate-Public*) Corruption

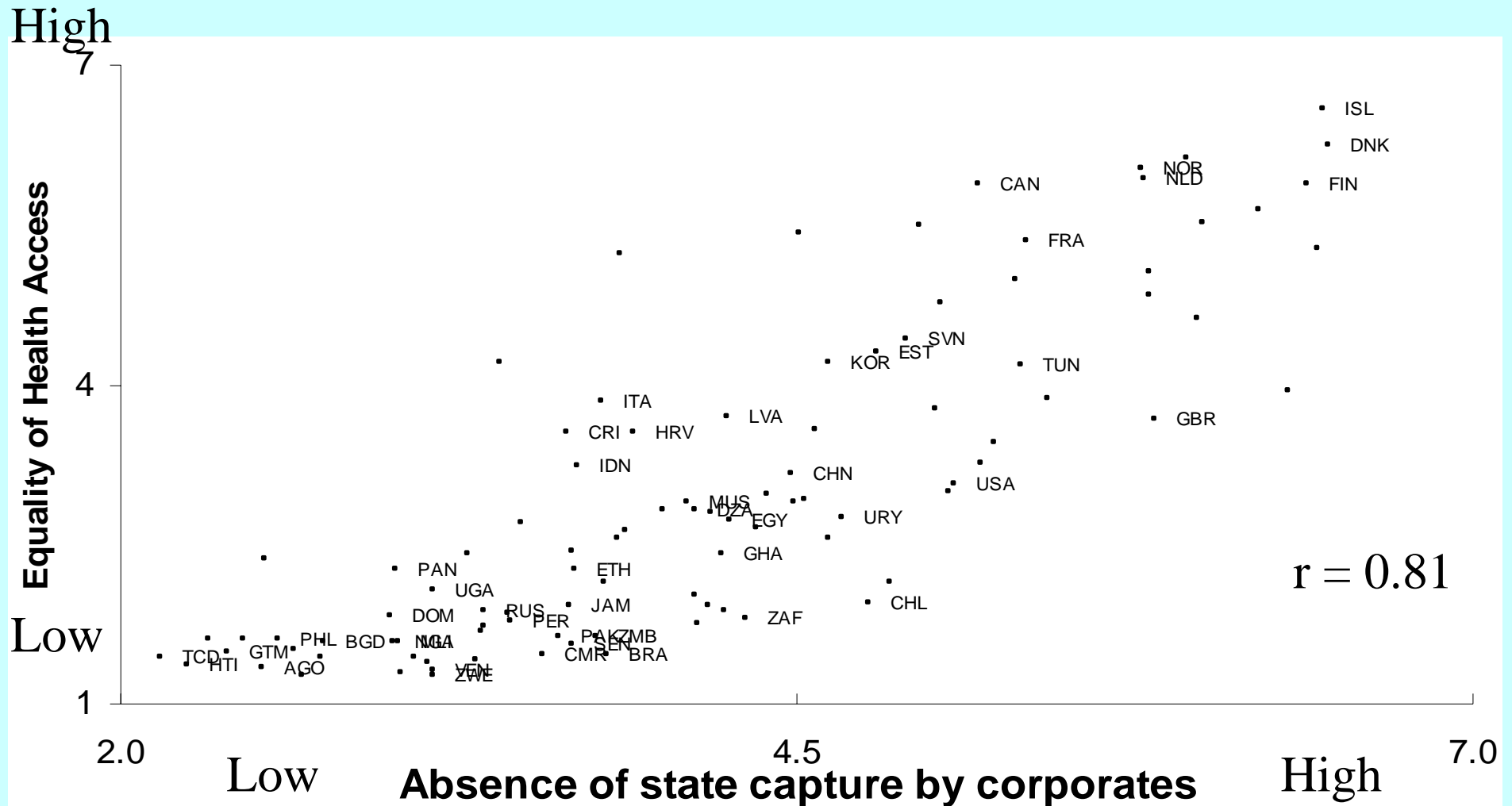
(X axis measures extent of Capture of laws/regs/policies by corporates)



Source: WDI, EOS 2003

# Health Access vs. Control of ‘Grand’ (corporate-public) Corruption

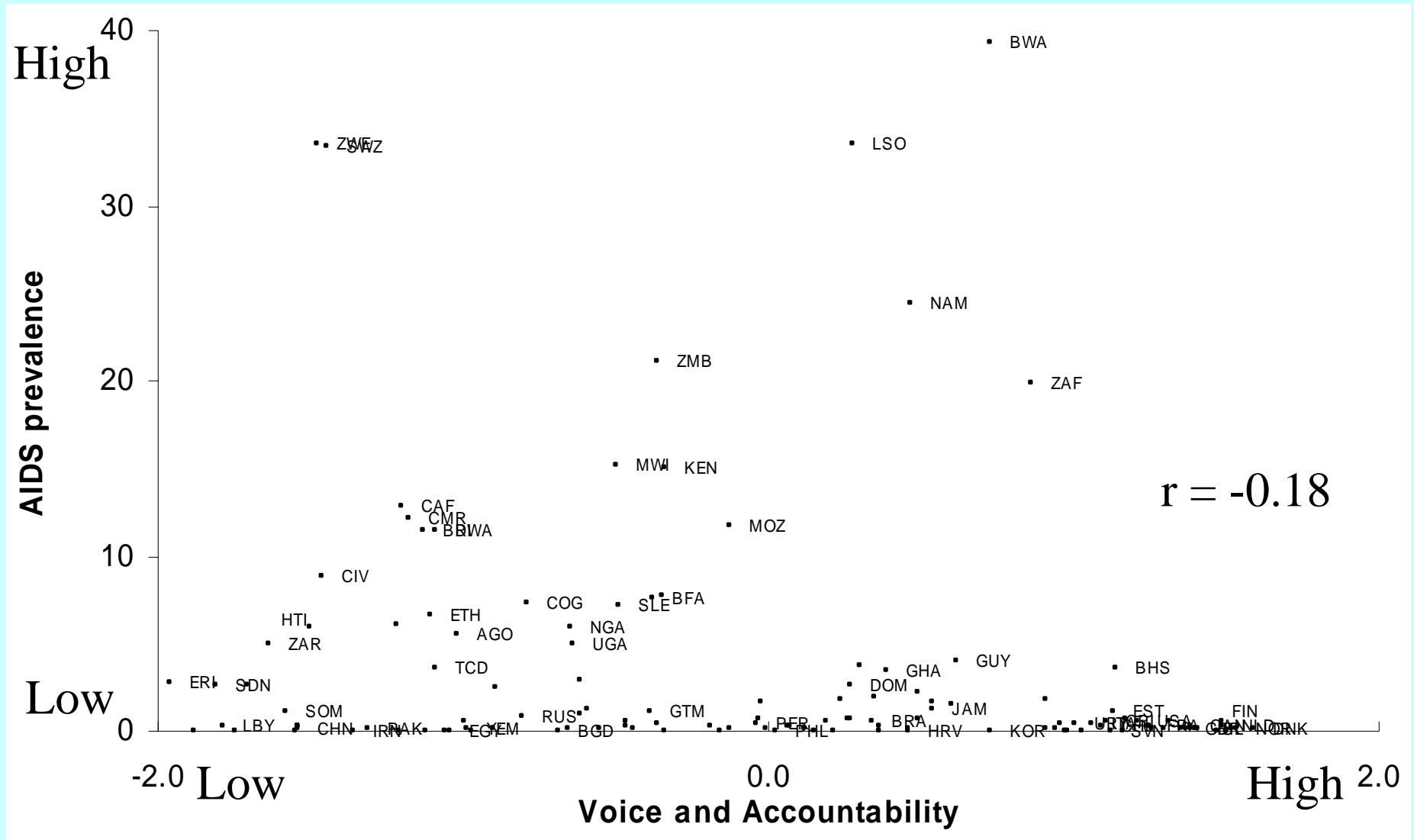
(X axis measures extent of Capture of laws/regs/policies by corporates)



Health gap drawn from EOS 2003. Question: “The difference in quality of the healthcare available to rich and poor people in your country is large / small.” Active Capture drawn from EOS 2003. Question: “How commonly would you estimate that firms make undocumented extra payments of bribe to influence laws, policies, regulations or decrees?”

# Empirical Unbundling: Some Weak Links are important

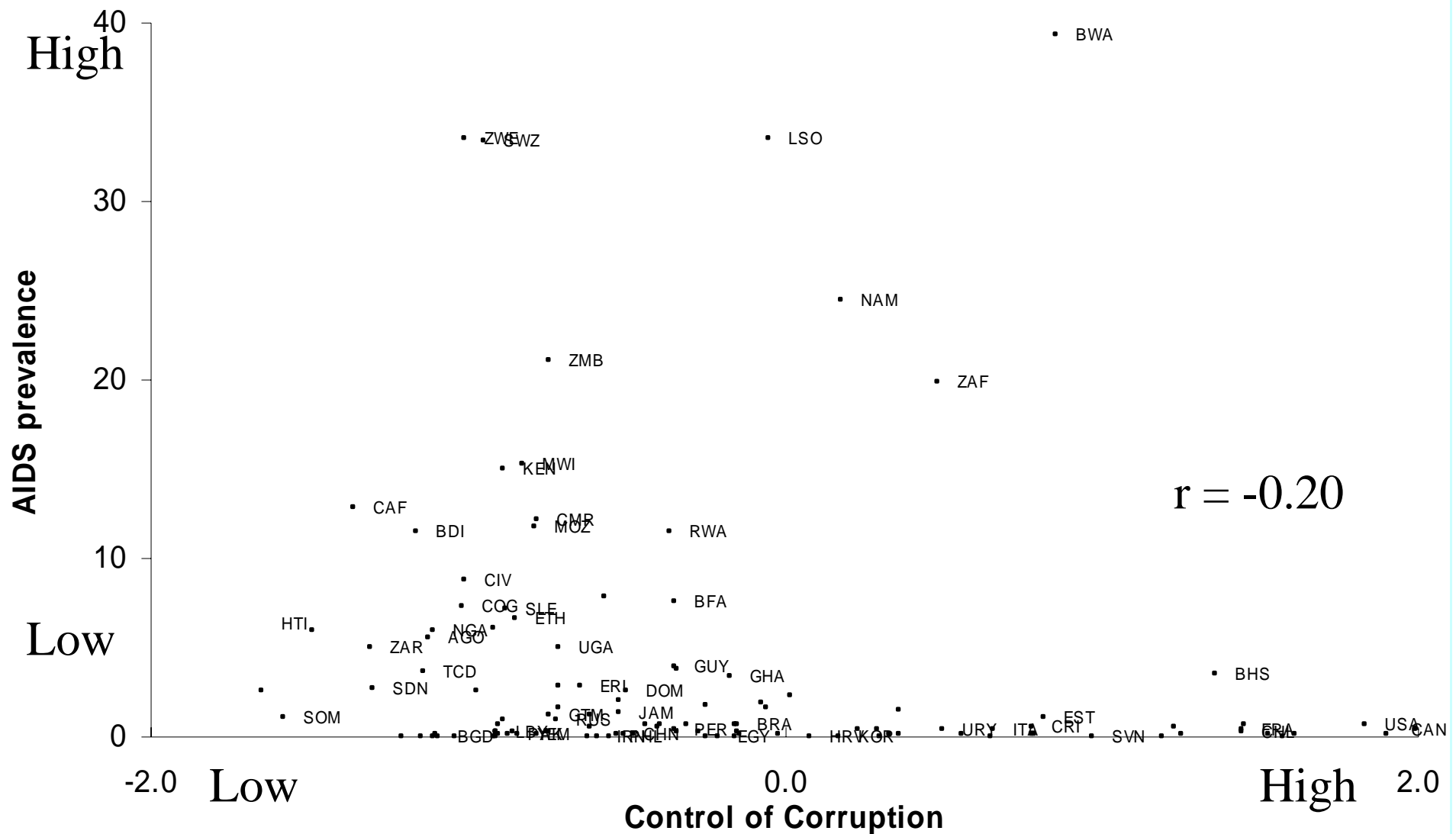
– *the Illustration of the effect of 1<sup>st</sup>GHR and AIDS*



Sources: KK 2004, UN 2001.

# Empirical Unbundling: Some Weak Links are important

– *the Illustration of the effect of 1<sup>st</sup>GHR and AIDS*



# **Unbundling Empirical Links Matter for Policy: Distinguishing between strong and weak links**

## ***Strong Empirical Links***

- **‘Soft’ 1<sup>st</sup>GHR & (*most*) 2<sup>nd</sup>GHR**
- **‘Soft’ 1<sup>st</sup>GHR & World Bank-funded Projects**
- **1<sup>st</sup>GHR & corp. ethics (*corporate/elite capture*)**
- **1<sup>st</sup>GHR & rule of law/Anti-Corruption**
- **Rule of Law/Anti-Corruption & 2<sup>nd</sup>GHRs**
- **Corporate/Elite Capture & 2<sup>nd</sup>GHRs**

## **Weaker Empirical Links**

- **Between ‘Hard’ (*life protection*) & ‘Soft’ 1<sup>st</sup>GHRs**
- **1<sup>st</sup>GHRs and AIDS**
- **1<sup>st</sup>GHR and labor**
- **2<sup>nd</sup>GHR and labor**

# Implications, general

**If further validated, results have implications on aid effectiveness**

- 1. Where 1GHR matters in particular for 2GHR, directly**
- 2. Where 1GHR matters for 2GHR and for development indirectly -- through anti-corruption**
- 3. Some of the components of 1GHR may matter particularly for 2GHR and for anti-corruption – focus on those?**
- 4. Some donors (IFIs in particular) may have constraints regarding interventions in some 1GHR areas, yet important to recognize that programs are less likely to succeed in subpar 1GHR environment**
- 5. Further selectivity? Questioning convention?**
- 6. Role of bilaterals?**

## Some Implications, specific

1. **Empirics Matter for: informed advise, review popular notions; monitoring checks/balances**
2. **Progress in 1<sup>st</sup>GHR not dramatic: *focus***
3. **Soft 1<sup>st</sup>GHR are key for 2<sup>nd</sup>GHR: *focus***
4. **1<sup>st</sup>GHR not a 'luxury good' (*no reverse link from 2<sup>nd</sup>-to-1<sup>st</sup>*)**
5. **Differences *within* various 1<sup>st</sup>GHRs: *challenge***
6. **Some 2<sup>nd</sup>GHR need specific interventions (*weak link 1*)**
7. **Other 2<sup>nd</sup> GHR may not be first priority (*weak link 2*)**
8. **Rule of Law/Anti-Corruption key mediator between 1<sup>st</sup>and 2<sup>nd</sup>GHR issues: *convergence (mediator)***
9. **Addressing Elite Capture/Corporate Ethics: *mediator***