

PhD Seminar on State Formation

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Description: This is a seminar about why states form, what types of states form, and what they do. Over the course of the semester we will review what both current and classic work has to say about state formation. The first requirement for this course is that students do the reading (prior to class) and participate actively in class discussion. The second requirement is that each student present two papers over the course of the semester. We will discuss the format in class. The third requirement is a research paper with a topic to be determined in advanced with the instructor.

1. Anarchy

- Hirshleifer, Jack. "Anarchy and its breakdown." *Journal of Political Economy*(1995): 26-52.
- Powell, Robert. "Guns, butter, and anarchy." *American Political Science Review* 87.01 (1993): 115-132.
- Skaperdas, Stergios. "Cooperation, Conflict, and Power in the Absence of Property Rights." *American Economic Review* (1992): 82(4):720-739.
- Piccione, Michele, and Ariel Rubinstein. "Equilibrium in the Jungle". *The Economic Journal* 117.522 (2007): 883-896.
- Carroll, Robert. "War and Peace in the Marketplace." *Working Paper*, Florida State University (2015)
- Duggan, John. "The State of Nature as a Spatial Contest". *Working Paper*, University of Rochester (2014)

2. Primary States (Theories)

- Boix, Carles. *Political Order and Inequality: Their Foundations and their Consequences for Human Welfare*. Cambridge University Press, 2015. pp (1-91)
- Olson, Mancur. "Dictatorship, Democracy, and Development." *American Political Science Review* 87.03 (1993): 567-576.
- Konrad, Kai A., and Stergios Skaperdas. "The Market for Protection and the Origin of the State." *Economic Theory* 50.2 (2012): 417-443.
- Grossman, Herschel I. "Make us a king: anarchy, predation, and the state." *European Journal of Political Economy* 18.1 (2002): 31-46.
- Robert Carneiro (1970) "A Theory of the Origin of the State" *Science*
- Abramson, Scott, and Jeon, Jee Seon: "Conflict, Cooperation, and Exit: A Mechanism Design Approach to the Origins of the State." *Working Paper* The University of Rochester (2015).

3. Primary States (Evidence)

- Boix, Carles. *Political Order and Inequality: Their Foundations and their Consequences for Human Welfare*. Cambridge University Press, 2015. pp (92-201)
- Robert Allen (1997) “Agriculture and the Origins of the State in Ancient Egypt” *Explorations in Economic History*.
- de la Sierra, Ral Snchez. *On the Origin of States: Stationary Bandits and Taxation in Eastern Congo. Working Paper* University of Chicago 2015.
- Bandiera, Oriana. “Land reform, the market for protection, and the origins of the Sicilian mafia: theory and evidence.” *Journal of Law, Economics, and Organization* 19.1 (2003): 218-244.
- Kurrild-Klitgaard, Peter, and Gert Tinggaard Svendsen. “Rational bandits: Plunder, public goods, and the Vikings.” *Public Choice* 117.3-4 (2003): 255-272.
- Charles Spencer “Territorial Expansion and Primary State Formation” *Proceedings of the National Academy of the Sciences* (2010).

4. Controlling Violence

- Pinker, Steven. *The Better Angels of Our Nature: Why Violence Has Declined*. New York: Viking, (2011). **Selections TBD**
- Charles Tilly (1985) “War Making and State Making as Organized Crime.”
- Daron Acemoglu, James Robinson, and Rafael Santos (2013) “The Monopoly of Violence: Evidence From Colombia.” *Journal of the European Economic Association*.
- Arandrajit Dube, Oeindrila Dube, and Omar Garcia-Ponce (2013) “Cross Border Spillover: US Gun Laws and Violence in Mexico.” *American Political Science Review*
- Bates, Robert, Avner Greif, and Smita Singh. “Organizing violence.” *Journal of Conflict Resolution* 46.5 (2002): 599-628.
- Acemoglu, Daron and Vindigni, Andrea and Ticchi, Davide Persistence of civil wars. *Journal of the European Economic Association*, 8 (2-3). pp. 664-676. ISSN 1542-4766 (2010)

5. State Capacity (Theories)

- Max Weber “Bureaucracy” in his *Economy and Society*.vol.2, pp.956-1005
- Timothy Besley and John McLaren (1992) “Taxes and Bribery: The Role of Wage Incentives” *Economic Journal*.
- Timothy Besley and Torsten Persson (2011) *Pillars of Prosperity*. Ch.1-4
- Jean Tirole (1994) “The Internal Organization of Government” *Oxford Economic Papers*
- Yoram Mayshar, Omer Moav, and Zvika Neeman (2013) “Transparency of the Production Process: Endogenous Institutions and State Capacity.” *Working Paper*
- Acemoglu, Daron, Davide Ticchi, and Andrea Vindigni. “Emergence and persistence of inefficient states.” *Journal of the European Economic Association* 9.2 (2011): 177-208.

6. State Capacity (Evidence)

- Strengthening State Capabilities: The Role of Financial Incentives in the Call to Public Service, Quarterly Journal of Economics 128(3), August 2013
- Nicola Gennaioli and Joachim Voth (2013) “State Capacity and Military Conflict.” Review of Economic Studies.
- Melissa Lee and Nan Zhang (2013) “The Art of Counting the Governed: Census Accuracy, Civil War, and State Presence.”
- Dincecco, Mark, The Rise of Effective States Europe, Journal of Economic History, vol. 75, pp. 901-18, 2015.
- Dincecco, Mark and Mauricio Prado Warfare, Fiscal Capacity, and Performance Journal of Economic Growth, vol. 17, pp. 171-203, 2012.
- Johnson, Noel D., and Mark Koyama. “Tax farming and the origins of state capacity in England and France.” Explorations in Economic History 51 (2014): 1-20.

7. Executive Constraints and Limited Rule (Part 1)

- North, Douglass C., John Joseph Wallis, and Barry R. Weingast. Violence and Social orders: A Conceptual Framework for Interpreting Recorded Human History. Cambridge University Press, 2009. **Selections TBD**
- Karaman, Kivanc and Pamuk, Sevket. “Different Paths to the Modern State in Europe: The Interaction Between Warfare, Economic Structure, and Political Regime” The American Political Science Review. (2013)
- Dincecco, Mark. “Fiscal centralization, limited government, and public revenues in Europe, 1650-1913.” The Journal of Economic History 69.01 (2009): 48-103.
- North, Douglass C., and Barry R. Weingast. “Constitutions and commitment: the evolution of institutions governing public choice in seventeenth-century England.” The journal of economic history 49.04 (1989): 803-832.
- Weingast, Barry R. “The political foundations of democracy and the rule of the law.” American political science review 91.02 (1997): 245-263.
- Bates, Robert H., and Da-Hsiang Donald Lien. “A Note on Taxation, Development, and Representative Government.” Politics and Society (1985).

8. Executive Constraints and Limited Rule (Part 2)

- Anderson, Perry. 1974. Lineages of the Absolutist State. London: Verso. Pages 15-59, 113-142, 195-235, 328-360, 397-431.
- Blaydes, Lisa, and Eric Chaney. “The Feudal Revolution and Europe’s rise: Political Divergence of the Christian west and the muslim world before 1500.” American Political Science Review 107.01 (2013): 16-34.
- Epstein, Stephan R. Freedom and growth: the rise of states and markets in Europe, 1300-1750. Routledge, 2002. **Selections TBD**
- Dincecco, Mark. “Fragmented authority from Ancien Regime to modernity: a quantitative analysis.” Journal of Institutional Economics 6.03 (2010): 305-328.

- Myerson, Roger. “The Autocrat’s Credibility Problem and Foundations of the Constitutional State.” *American Political Science Review* (2008)
- Boix, Carles, and Milan W. Svobik. “The foundations of limited authoritarian government: Institutions, Commitment, and Power-Sharing in Dictatorships.” *The Journal of Politics* 75.02 (2013): 300-316.

9. Public Debt

- Stasavage, David *States of Credit* Princeton University Press. (2012)
 - “Credible Commitment in Early Modern Europe: North and Weingast Revisited“ *Journal of Law, Economics, and Organization* 18(1), pp.155-86, 2002
- Seghezza, Elena “Fiscal Capacity and The Risk of Sovereign Debt After the Glorious Revolution: A Reinterpretation of the North Weingast Hypothesis.” *European Journal of Political Economy*, forthcoming.
- Dixit, Avinash, and John Londregan. “Political power and the credibility of government debt.” *Journal of Economic Theory* 94.1 (2000): 80-105.
- Ziblatt, Daniel and Dasgupta, Aditya “How did Britain Democratize: Views from the Sovereign Bond Market” *Journal of Economic History* (2015)
- Michael Tomz, *Reputation and International Cooperation: Sovereign Debt Across Three Centuries* (Princeton University Press, 2007). **Selections TBD**

10. Property Rights & Contract Enforcement

- Gregory Clark (1996) “The Political Foundations of Modern Economic Growth, England 1540-1800.” *Journal of Interdisciplinary History*
- Avner Greif, Paul Milgrom, and Barry Weingast (1994) “Coordination, Commitment, and Enforcement: The Case of the Medieval Merchant Guild.” *American Economic Review*.
- Catherine Hafer (2006) “On the Origin of Property Rights: Conflict and Production in the State of Nature.” *Review of Economic Studies*.
- Sheilagh Ogilvie (2014) “The Economics of Guilds.” *Journal of Economic Perspectives*.
- Demsetz, Harold. “Toward a theory of property rights.” *The American economic review* (1967): 347-359.
- Besley, Timothy. “Property rights and investment incentives: Theory and evidence from Ghana.” *Journal of Political Economy* (1995): 903-937.

11. Power, Consent, & Compliance

- Margaret Levi. 1997. *Consent, Dissent, and Patriotism*. New York : Cambridge University Press.
- Steven Lukes. 2005. *Power: A Radical View*. New York: Macmillan. Second edition. Chapter 1, pp. 1-59

- James S. Coleman. 1990. *Foundations of Social Theory*. Cambridge, Mass: Belknap Press. Pages 27-37, 45-90, 119-174.
- Wedeen, Lisa. *Ambiguities of domination: Politics, rhetoric, and symbols in contemporary Syria*. University of Chicago Press, 1999. **Selections TBD**

12. The Number and Size of States (Part 1)

- Tilly, Charles, *Coercion, Capital and the European State: 990-1990*. B. Blackwell. (1990). Chapters 1 - 3
- Spryut, Hendrick. *The Sovereign State and Its Competitors: An Analysis of Systems Change* Princeton University Press; (1994). Chapters 1-3,5,6
- Richard Bean (1973) “War and the Birth of the Nation State” *Journal of Economic History*, vol.33, no.1
- Boix, Carles *War, Wealth and the Formation of States*. . In Norman Schofield, ed. *Political Economy and Institutions*, Springer-Verlag. 2009
- Abramson, Scott (2014) “The Economic Origins of the Territorial State.”
- William H. McNeil. 1982. *The Pursuit of Power*. Chicago: The University of Chicago Press. Chapters 1 and 3.

13. The Number and Size of States (Part 2)

- Alesina, Alberto and Spolaore, Enrico. *The Size of Nations*. Cambridge, MIT Press (2004). Chapters 1-5
- Fazal, Tanisha. “State Death in the International System.” *International Organization*. (2004)
- Bolton, P. and Roland, G. “The Breakup of Nations: A Political Economy Analysis,” *Quarterly Journal of Economics*. (1997)
- Olofsgard, A “Incentives for secession in the presence of mobile ethnic groups”, *Journal of Public Economics*. (2003)
- Staal, K “Incentives for Separation and Incentives for Public Good Provision.” *Public Choice*. (2010).
- Cederman, Lars-Erik. *Emergent Actors in World Politics: How States and Nations Develop and Dissolve*. Princeton University Press. Chapters 6, 7 and 8.

14. Nations

- Keith Darden. *Resisting Occupation: Mass Literacy and the Creation of Durable National Loyalties*. Cambridge University Press. (201?). Read chapters 1-5; skim chapter 6
- Ernest Gellner. 1983. *Nations and Nationalism*. Ithaca: Cornell University Press. Chapters 1-7.
- Benedict Anderson. 1983. *Imagined Communities. Reflections on the Origin and Spread of Nationalism*. New York: Verso. Chapter 1-7.

- Weber, Eugen. 1977. Peasants into Frenchmen. The Modernization of Rural France, 1870-1914. Stanford University Press. Chapters 1, 4, 6, 7, 15, 17, 18 and 29

15. Norms, Sovereignty, & Contemporary State Formation In the International System

- Alesina, Alberto, William Easterly, and Janina Matuzeski (2011) "Artificial States." Journal of the European Economic Association
- Herbst, Jeffrey. States and power in Africa. Princeton University Press, 2014.
- Osiander, Andreas. "Sovereignty, international relations, and the Westphalian myth." International organization 55.02 (2001): 251-287.
- Krasner, Stephen D. "Compromising Westphalia." International Security (1995): 115-151.
- Philpott, Daniel. "The religious roots of modern international relations." World Politics 52.02 (2000): 206-245.
- Fischer, Markus. "Feudal Europe, 800-1300: communal discourse and conflictual practices." International Organization 46.02 (1992): 427-466.
- Ruggie, John Gerard. "Territoriality and beyond: problematizing modernity in international relations." International organization 47.01 (1993): 139-174.