

Database		HSE (2007)	TIES (2013)	TSC (2014)
Authors		Hufbauer, Gary Schott, Jeffrey Elliot, Kimberley Oegg, Barbara	Morgan, T. Clifton Bapat, Navin Kobayashi, Yoshiharu	
Version		Version 3	Version 4	Version 1
Period		1914-2000 <sup>1</sup>	1945-2005	1991-2013
Focus		Economic sanctions (trade and financial)	Economic sanctions (including trade disputes) and travel bans	All sanctions (individual, economic, political, military, diplomatic, transportation)
Definition		Deliberate, government inspired withdrawal, or threat of withdrawal, of customary trade and financial activity that would probably have occurred in the absence of sanctions.	Actions that one or more countries take to limit or end their economic relations with a target country in an effort to persuade that country to change its policies.	Legally binding restrictive measures applied by the UN Security Council to coerce, constrain, and/or signal a norm to a state, entity, or individual target
Sender		Country or international organization (maximum 3)	Country or international organization (maximum 5)	United Nations (UN)
Target		Country (single) <sup>2</sup>	Country (single)	Country/entity/individual (multiple)
Country cases		174	Unclear	23
Episodes (observations)		204	1412	63
Number of variables		39	67	296
Criteria for new episode	Simultaneous	- Multiple targets (same sender) - Multiple equally important objectives	- Multiple targets (same sender) - Senders not coordinating or not having same demands (same target) - Mutual sanctions (each own case)	N/A
	Sequential	- Changed objective (phases) - Significant changes on the ground (phases)	- Changed objective (phases) - New activity after 1 year of inaction (threat or imposition)	<u>Significant adjustments to sanctions regime</u> - Type of sanctions - Target of sanctions - Purpose of sanctions - Change in enforcement  <u>Significant changes on the ground</u> - Affecting the internal dynamics of the sanctions regime <sup>3</sup>
Threat only cases		Yes (6%)	Yes (40%)	No (prior threat identified only for cases where sanctions were authorized)
Observation	Start	Threat or imposition (indistinguishable) - First recorded sanctions threat from official sources; or - First recorded sanctions event (regardless of whether threat made)	Threat or imposition (distinguishable) - Sender makes a threat (non/specific) about the possibility of sanctions; or - Sender imposes sanctions without previous threat <sup>4</sup>	<u>Imposition</u> - UN Security Council authorizes the imposition of sanctions in a resolution evoking Chapter VII of the UN Charter (using legally binding language)

<sup>1</sup> Includes also one case from 2002-2006 (Democratic People's Republic of Korea).

<sup>2</sup> With four exceptions: USSR, COMECON; Cambodia, Khmer Rouge; Angola, UNITA; Yugoslavia, Serbia.

<sup>3</sup> Applied in only four instances.

<sup>4</sup> Or makes a threat or imposes sanctions as a reaction to a violation of a general prohibition.

	<b>End</b>	<ul style="list-style-type: none"> <li>- Sender or target country changes its policies in a significant way</li> <li>- Campaign withers away</li> </ul>	<ul style="list-style-type: none"> <li>- Target acquiesces to sender demands</li> <li>- Target state changes</li> <li>- Objective changes</li> <li>- Sender does not carry out threat (1 year)</li> <li>- Sender removes sanction</li> </ul>	<ul style="list-style-type: none"> <li>- Target changes</li> <li>- Objective changes</li> <li>- Sanctions type significantly changes</li> <li>- Sender officially terminates sanction</li> </ul>
	<b>Duration</b>	Approximate (whole years) <sup>5</sup>	Exact (day/month/year)	Exact (day/month/year)
<b>Objectives</b>	<u>Objectives (exclusive)</u>		<u>Issues (multiple)</u>	<u>Objectives (primary and multiple)</u>
	<ul style="list-style-type: none"> <li>- Modest policy change (1)</li> <li>- Regime change and democratization (2)</li> <li>- Disruption of military adventures (3)</li> <li>- Military impairment (4)</li> <li>- Other major policy changes (5)</li> </ul> Specific goal identified separately		<ul style="list-style-type: none"> <li>- Contain political influence (1)</li> <li>- Contain military behavior (2)</li> <li>- Destabilize regime (3)</li> <li>- Release citizens, property, or material (4)</li> <li>- Solve territorial dispute (5)</li> <li>- Deny strategic material (6)</li> <li>- Retaliate for alliance/alignment choice (7)</li> <li>- Improve human rights (8)</li> <li>- End weapons/material proliferation (9)</li> <li>- Terminate support of non-state actors (10)</li> <li>- Deter/punish drug-trafficking practices (11)</li> <li>- Improve environmental policies (12)</li> <li>- Trade practices (13)</li> <li>- Implement economic reform (14)</li> <li>- Other (15)</li> </ul>	<ul style="list-style-type: none"> <li>- Nuclear non-proliferation (1)</li> <li>- Counter-terrorism (2)</li> <li>- Cease hostilities (3, armed conflict)</li> <li>- Negotiate peace agreement (3, armed conflict)</li> <li>- Peace enforcement (3, armed conflict)</li> <li>- Peace building (3, armed conflict)</li> <li>- Democracy support (4)</li> <li>- Good governance (5)</li> <li>- Human rights (6)</li> <li>- Protect population under R2P (7)</li> <li>- Support humanitarian efforts (8)</li> <li>- Support judicial process (9)</li> </ul>
<b>Types of sanctions</b>	<u>Trade sanctions</u>		<u>Economic sanctions</u>	<u>Individual sanctions</u>
	<ul style="list-style-type: none"> <li>- Interruption of exports (from sender)</li> <li>- Interruption of imports (to sender)</li> </ul> <u>Financial sanctions</u> <ul style="list-style-type: none"> <li>- Interruption of commercial finance, aid, and other official finance (including asset freeze)</li> </ul>		<ul style="list-style-type: none"> <li>- Total economic embargo (by sender)</li> <li>- Partial economic embargo (import and export)</li> <li>- Import restrictions</li> <li>- Export restrictions</li> <li>- Blockade (by all states)</li> <li>- Asset freeze</li> <li>- Termination of foreign aid</li> <li>- Suspension of economic agreement</li> <li>- Other</li> </ul> <u>Individual sanctions</u> <ul style="list-style-type: none"> <li>- Travel ban</li> </ul> <u>Diplomatic sanctions</u> <sup>6</sup> <ul style="list-style-type: none"> <li>- Expulsion of ambassador</li> <li>- Recall of ambassador</li> <li>- Temporary closing of embassies</li> </ul>	<ul style="list-style-type: none"> <li>- Travel ban</li> <li>- Individual/entity asset freeze</li> <li>- Asset transfer</li> </ul> <u>Diplomatic sanctions</u> <ul style="list-style-type: none"> <li>- Limiting travel of diplomatic or government personnel</li> <li>- Limiting number of diplomatic personnel</li> <li>- Revision of visa policy</li> <li>- Limiting diplomatic representation</li> </ul> <u>Sectoral sanctions</u> <ul style="list-style-type: none"> <li>- Aviation ban</li> <li>- Arms imports embargo (to target)</li> <li>- Arms exports embargo (from target)</li> <li>- Proliferation-sensitive material ban</li> <li>- Oil services equipment imports ban</li> <li>- Shipping and transportation</li> </ul>

<sup>5</sup> Taking only the year into consideration.

<sup>6</sup> If threatened or imposed in conjuncture but not independently from economic sanctions and/or travel ban.

		- Ending diplomatic contact (permanent)	<u>Commodity sanctions</u> <ul style="list-style-type: none"><li>- Luxury goods imports ban (to target)</li><li>- Petroleum imports ban (to target)</li><li>- Diamond exports ban (from target)</li><li>- Timber exports ban (from target)</li><li>- Charcoal exports ban (from target)</li><li>- Other</li></ul> <u>Financial sanctions</u> <ul style="list-style-type: none"><li>- Central bank asset freeze</li><li>- Investment ban</li><li>- Financial services</li><li>- Sovereign wealth funds</li><li>- Diaspora tax</li></ul>	
Specific target	N/A	<u>Threatened targeted interest (multiple)</u> <ul style="list-style-type: none"><li>- General (1)</li><li>- Regime leadership (2)</li><li>- Business interest (3)</li><li>- Political interest (4)</li><li>- Military (5)</li><li>- Other (6)</li></ul>	<u>Target for each purpose (primary &amp; multiple)</u> <ul style="list-style-type: none"><li>- Entire government (1)</li><li>- Government leadership (2)</li><li>- Rebel faction (3)</li><li>- All parties to the conflict (4)</li><li>- Terrorist group (5)</li><li>- Leadership family members (6)</li><li>- Facilitators of proscribed activity (7)</li><li>- Individual targets (8)</li><li>- Key regime supporters (9)</li><li>- Domestic constituencies in target (10)</li><li>- Regional constituencies (11)</li><li>- Global constituencies (12)</li></ul>	
Effectiveness	Perspective	Sender	Sender and Target	Sender
	Description	Combination of the extent to which the policy result sought by the sender country was achieved and the contribution to success made by sanctions as opposed to other factors	Relative degree to which the sender and target accomplished their respective policy objectives	Combination of the extent to which the policy result sought by the sender country was achieved and the contribution to success made by sanctions as opposed to other factors (separate evaluation for each purpose – coerce, constrain, and signal)
	Components	<u>Policy result</u> <ul style="list-style-type: none"><li>- Failed outcome (1)</li><li>- Unclear but possibly positive outcome (2)</li><li>- Positive outcome – sender's goals were party realized (3)</li><li>- Successful outcome – sender’s goals were largely or entirely realized (4)</li></ul>	<u>Final outcome (threat or imposition)</u> <ul style="list-style-type: none"><li>- Partial acquiescence (T or I)</li><li>- Complete acquiescence (T or I)</li><li>- Capitulation by the sender (T or I)</li><li>- Stalemate (T or I)</li><li>- Negotiated settlement (T or I)</li></ul>	<u>Policy outcome</u> <ul style="list-style-type: none"><li>- Specific benchmarks for each of the three sanctions purposes - ranging from no or negligible change in target’s behavior / no constraint / weak norm articulation and no target stigmatization (1) to meeting all of the principal objectives / constraint or significant increases in target’s costs / clear norm articulation and full target stigmatization (5)</li></ul>
		Sanctions contribution	Settlement nature for sender	Sanctions contribution

		<ul style="list-style-type: none"> <li>- Negative (1)</li> <li>- Little or no {minor} (2)</li> <li>- Substantial (3)</li> <li>- Decisive (4)</li> </ul>	<ul style="list-style-type: none"> <li>- Degree to which sender accomplished its policy objectives (0 – 10)</li> </ul> <p><u>Settlement nature for target</u></p> <ul style="list-style-type: none"> <li>- Degree to which target accomplished its policy objectives (0 – 10)</li> </ul>	<ul style="list-style-type: none"> <li>- Negative (0)</li> <li>- None (1)</li> <li>- Minor (2)</li> <li>- Modest (3)</li> <li>- Major (4)</li> <li>- Significant (5)</li> </ul>
	<b>Success criteria</b>	Positive policy outcome (sender's goals party realized) and at least substantial sanctions contribution	Considered successful in either threat and imposition stage if the value for sender greater than variable for target	Policy outcome unambiguously in line with the sanctions objectives and at least modest sanctions contribution.
	<b>Evaluation</b>	Policy result x sanctions contribution	Relative scores (individual values not reliable)	Policy outcome and sanctions contribution considered together (for each purpose)
	<b>Success score</b>	9 or higher (maximum 16)	Settlement nature for sender > Settlement nature for target	Policy outcome > 3 and sanctions contribution > 2
	<b>Alternative success score</b>	Not specified	Final outcome (customized thresholds possible) <sup>7</sup>	Mixed effectiveness (policy outcome = 3 and sanctions contribution > 2)
	<b>Ongoing cases</b>	Coded	Missing	Coded
<b>Other variables</b>	<b>Political</b>	<ul style="list-style-type: none"> <li>- Target identifiers (regional group, IMF code, regime type, political stability)</li> <li>- Prior relations (quality of relationship, shared institutional membership)</li> <li>- Companion policies (covert action, quasi-military, regular military action)</li> <li>- International cooperation with sender in sanctions implementation (extent, international organization involvement)</li> <li>- International assistance to target in sanctions evasion</li> </ul>	<ul style="list-style-type: none"> <li>- Prior relations (target's membership in sender institution)</li> <li>- Threat (type and specificity of offending behavior and proposed measures, level of sender commitment to sanction imposition)</li> <li>- Sender identity (type of individual/institution)</li> </ul>	<ul style="list-style-type: none"> <li>- Background (UN responsiveness, P5 members affected or involved, other actors involved, presence of autonomous sanctions by other actors)</li> <li>- Details of sanctions imposition (unanimity, identity of countries leading or objecting to sanctions, monitoring infrastructure)</li> <li>- Other policy instruments (threat of force, force, peacekeeping, disarmament, covert action, legal action, diplomatic pressure)</li> <li>- Impact assessment and evidence of sanctions implementation, enforcement, coping, and evasion</li> <li>- Unintended consequences (both positive and negative)</li> </ul>
	<b>Economic</b>	<ul style="list-style-type: none"> <li>- Costs for target (total and per capita USD, percentage of GNP)</li> <li>- Costs for sender (net gain/little effect/modest welfare lost/major loss)</li> <li>- Target/sender economic indicators (import/export trade linkage, GNP ratio)</li> <li>- Target economic indicators (health and stability, GDP growth, inflation)</li> </ul>	<ul style="list-style-type: none"> <li>- Positive inducements for the target (economic payments/aid, trade concessions, removal of previous sanctions, military aid, political concessions) and their monetary value</li> <li>- Actual and anticipated costs for target and sender (total USD and assessment of their scope - minor/major/severe)</li> </ul>	<ul style="list-style-type: none"> <li>- Evidence of sanctions enforcement (assets frozen - total USD, number of accounts)</li> <li>- Direct and indirect impacts on target (include examples, general trends, scope in USD, and affected economic indicators)</li> <li>- Unintended consequences (corruption/criminality, state role in the economy, significant burden on implementing states, widespread harmful economic consequences)</li> </ul>

<sup>7</sup> Users encouraged to create their own success scores.