Codebook for ICOW Colonial History Data Set
Version 1.1

Issue Correlates of War (ICOW) Project
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Description of Data Set

This data set is meant to identify the date on which each member of the COW interstate system achieved independence, the process by which this independence occurred, and the colonial power(s) that influenced the entity or entities that would eventually become the independent state. It should be noted that this data set only considers an entity to be independent when it has control over its foreign policy and when it resembles the form of the modern state. For example, Spain is not coded as independent until most of today's state of Spain was united under a single ruler (rather than trying to trace the state's lineage back through the separate history of Aragon, Castile, and Leon).

Definitions and Coding Rules

Colonial Rulers

A foreign power is only considered relevant for purposes of this Colonial History data set if it exerted political control (as a colony, protectorate, part of an empire, or other dependency) over a substantial part of what became the new state after independence. For the purposes of this data set, terms such as "colonizer" and "colonial" are used to refer to each of these situations, although the documentation for each individual state's colonial history will attempt to clarify the exact nature of the "colonial" relationship as much as possible.

A period of colonial rule is considered to begin with the establishment of the first permanent outpost or settlement in the location in question. Note that because of the blurred distinction between private companies and national governments during the colonial era, settlements by state-sponsored companies such as the Hudson's Bay Company or Dutch East India Company are coded as indicating the beginning of settlement by their mother countries.

Simply controlling a small settlement or enclave in the territory is not sufficient to qualify as a colonial ruler for this data set, although such cases will be noted in the coding notes. For example, although the Netherlands and Sweden both established small colonies in what became New York, New Jersey, and Delaware, neither of them is considered to be a colonial ruler of the United States; nor is Portugal considered to be a colonial ruler of India or China because of Goa or Macao. In such cases, the foreign power is not considered to have had sufficient political influence over the dependent entity to have been able to influence its path to independence or its borders.

Military occupation by itself is not considered to represent colonial rule. This includes situations where one state's colony was briefly occupied by another state during an ongoing war and subsequently returned rather than ceded or annexed (as happened numerous times in the 16th-19th century Caribbean), as well as situations where an independent state was occupied by another state (as when Nazi Germany conquered much of Europe during World War II); the latter situation may result in a state's loss of COW system membership, but it does not produce a completely new state when the occupation ends.

Primary Colonial Ruler

Some colonies have very straightforward histories, with a single foreign power having ruled the entity throughout the colonial era, and no history of unification or secession after independence. Unfortunately for the purpose of data collection, though, many others experienced partial or complete colonial rule by multiple colonizers at different points in time, or seceded from a single independent state after the end of the colonial era.

A state's "primary colonial ruler" is defined as the colonial or imperial power that was most responsible for shaping the development of the entity (or entities) that became this modern state. This is typically the state that ruled over the majority of this territory (for cases where multiple colonial powers held parts of what became the modern state) or the state that ruled over this territory for the longest time (for cases where the colony changed hands one or more times before independence). It should be noted that this may not be the state from which this entity received its independence, which is covered by a separate set of variables in the data set. For example, although the UK and France took possession of Ottoman territories in the Middle East as League of Nations mandated territories after World War I, the Ottoman Empire would be coded as the resulting states' primary colonial ruler.

Independence

A state is considered independent for purposes of this data set when it was generally regarded as being able to make its own decisions over both domestic and foreign policy. This means that any former ruling power must have withdrawn its governing authorities from de facto administration of the new state, even if it does not officially recognize the independence of the new state.

Independence/decolonization is considered to be violent if it occurs through, or as the result of, large-scale armed violence. Typical examples include colonies that win their independence through a successful rebellion (which either pushes the colonizer's forces out of the country or convinces the colonizer to cut its costs by freeing the colony) and colonies that are transferred from one colonizer to another through a war (which either results in the physical capture of the colony if fighting occurs on its territory or leads to the cession of the colony in a peace treaty even if the fighting was overseas).

It should be noted that the coding of this variable is not meant to cast doubt on or compete with the dates in the COW interstate system membership list or Gleditsch and Ward's alternative list, both of which are included in this data set for purposes of comparison. This data set is only meant to record states' colonial histories, culminating in the dates and processes by which they became (de facto) independent. There will probably be a substantial difference for many states between these dates of independence and the dates of joining one or more interstate system membership lists, and that is to be expected. We are measuring different things (most notably, this data set does not consider such factors as population or international recognition by "legitimizer" powers), and I make no claim that this data set is "better" or "more accurate" than the COW or Gleditsch/Ward system lists -- just that this data set is useful for different purposes.

Version History

Version 1.1 (November 2018)

Synchronized this data set with the ICOW Historical State Names data set (https://www.paulhensel.org/icownames.html), which was also updated this week; each state's primary colonizer from this data set is now listed in the Historical State Names data. Future additions of colonial details (such as the names of colonial entities) will be added to both data sets simultaneously.

- Noted name changes for Czechia, North/Northern Macedonia, and eSwatini, and improved or clarified several other state names.
- Several corrections of existing data.

Version 1.0 (December 2014)

This was the first complete version of the data set to include (where relevant) each state's primary colonial ruler, its independence process, and any post-independence secession from or merging into other states.

- Added the primary colonial power that ruled over each state. Coding of individual colonial powers had been removed from the data set for version 0.4 due to its temporary focus on independence processes, and even then no identification of the "primary" colonizer was made. This will be helpful for tracing the colonial origins of states that later achieved independence through secession or partition some years or decades after decolonization.
- Added separate variables for secession and merger processes.
- Removed the variables that recorded comparable information from the COW Territorial Change data set and the Polity 2 data set, as those were not collected as part of this project and are not directly relevant here. Interested users can obtain that information from the data sets in question.
- Misc. corrections of existing data and additions to notes.

Version 0.4 (June 2006)

This version of the data set was intended to be a temporary reduction in scope, in order to focus more on the processes by which each state became independent. Each state is currently limited to the final colonial or other ruler from which it obtained independence, rather than up to three (or four) different rulers as in previous versions of the data.

Independence dates and processes have been recoded from scratch, primarily using several general sources (*Merriam-Webster's Geographical Dictionary* [1997], Biger's *Encyclopedia of International Boundaries* [1995], Rulers.org, WorldStatesmen.org, and where questions still remained, Wikipedia).
• The data set also includes the values of all comparable variables from both the COW Territorial Change data set and the Polity 2 data set for purposes of comparison with the newly coded variables.

Version 0.3 (August 2005)
This version continued the expansion of the data set toward a more complete compilation of the history of states and the processes by which they became independent:
• System membership data updated based on COW system version 2004.1.
• Added coding to distinguish secessionist relationships from colonial relationships.
• Added variables for violence in the ending of both colonial and secessionist relationships.
• Misc. corrections of existing data and additions to notes (by Scott Gates and Mirjam Sørli).

Version 0.2 (July 2002)
This version improved the coding of cases in the original version, as part of a transition to a more complete and informative data set:
• Modified the way the data set handles non-colonial past relationships.
• Misc. corrections of existing data and additions to notes.

Version 0.1 (December 1999)
This was the original version of the data set, and it was very preliminary in nature. This version was produced by Paul Hensel, drawing from some preliminary information that had been compiled by Resat Bayer and Erik Gartzke using the *CIA World Factbook*. Among the changes from their previous information:
• 45 additional countries added beyond Bayer/Gartzke data
• Added "from"/"into"/3rd colonizer details where relevant
• Separate independence dates listed for each colonizer
• More extensive "notes" section added
• Misc. corrections to Bayer/Gartzke data

Known Issues

• This is currently a preliminary list of independence dates and processes, based primarily on examination of several general reference sources. In the future, more detailed sources will be consulted for each state, which is likely to offer better information on some of these cases. For example, these sources do not always clearly specify what is meant by an entity achieving "independence." Some sources may use this to mean a declaration of independence, while others may use it to mean de facto control of the entity's own policies, and others may use it to mean de jure recognition of the entity's independence by the former colonial power or by other outside states. As more detailed sources are consulted in the future, these differences will be clarified, and the data set will be adjusted as appropriate.
• I have much more confidence in the independence dates for states that became independent during the COW era (1816-present) than for those that became independent earlier. For example, the early histories of the German and Italian states need to be double-checked (when did these different duchies, grand duchies, etc., qualify as independent states, either within or outside of the Holy Roman Empire, etc.). Similar concerns arise for countries like China, Japan, Korea, and Thailand -- when can the modern state be said to have become independent? Academic sources like the COW and Gleditsch/Ward systems list such cases as independent on 1/1/1816 or 1/1/1800 (the beginning of their temporal domain), while other sources such as the CIA World Factbook are inconsistent (sometimes tracing independence back more than 1000 years despite subsequent changes in the form of the state, and sometimes listing independence as beginning with a modern change in government although the state itself has a much longer history of independence).
• Another question involves the British dominions (particularly Canada, Australia, New Zealand, and South Africa), which achieved dominion status well before joining the COW interstate system, and were not officially

granted full sovereignty by the British until several decades after that. Further research is needed to determine when these states truly achieved independent control over their own foreign policies.

Future Plans for This Data Set

• A future version of this data set will include more details on the type of colony or dependency for each dependent relationship. This will mean distinguishing between (for example) formal colonies, protectorates, and mandates, and may also distinguish between overseas and land empires (a distinction that has been used in a number of articles on colonial legacies).

• A future version may also include more information about which entities were ruled as settler colonies and which were exploitation colonies. There is wide disagreement in the literature about which entities should be considered settler colonies, with some scholars using this term for a small number of British colonies and others expanding this for more than a dozen colonies from several different empires. Economists have recently released some very interesting data on the proportion of each former colony's population made up of the colonizer's people or other Europeans, which might be able to offer useful insight into this question.

• A future version will include more detail on the names of the specific colonial entities that eventually became each state.

• A future version will include information on *all* colonial rulers for each state, including the beginning and ending dates when each ruled over the entity and the type of dependency, as well as an indication of what happened at the end of the period of rule (w.g., whether the entity became independent or was transferred to another ruler).

List of Variables

State: COW Country Code
• The COW country code for the state.

Name: Name of State
• The state's name (in some cases I have changed this from the original COW name for purposes of precision or clarification).

ColRuler: Primary Colonial Ruler
• The colonial or imperial power that was most responsible for shaping the development of the entity (or entities) that became this modern state. This is typically the state that ruled over the majority of this territory (for cases where multiple colonial powers held parts of what became the modern state) or the state that ruled over this territory for the longest time (for cases where the colony changed hands one or more times before independence).
• Note that this may not be the state from which this entity received its independence, which is covered by a separate set of variables in the data set. For example, although the UK and France took possession of Ottoman territories in the Middle East as League of Nations mandated territories after World War I, the states that resulted are coded as having been part of the Ottoman Empire.

IndFrom: Entity from Which Independence Was Gained
• The COW country code for the state, empire, or other entity from which this state gained independence. This variable is coded as missing where the state did not gain independence from a COW system member (e.g., by unifying local units into a new state).

IndDate: Date of Independence
• The date on which this state became independent -- i.e., acquired control of its own foreign policy, without being ruled by a foreign power. This takes the form YYYYMM, where the month is coded as 00 if ICOW does not currently have an estimated month when the state took its current form.
• Note that unlike the Polity 2 and COW Territorial Change data sets, which are left-censored in 1800 and 1816 respectively, this data set does not left-censor dates of independence. Dates before 1800 or 1816 are coded as relevant; this applies primarily to the European powers, as well as to a few older states in other regions.

IndViol: Violent Independence?
1: Yes = The independence occurred through organized violence.
0: No = The independence did not involve organized violence.
• An independence process is considered violent if it occurred through armed revolt by the entity, or if it occurred through armed conflict between the former ruler and another state (as when the entity in question is conquered or freed by a foreign power, or when it changed hands as part of a treaty ending a war).

IndType: Type of Independence
1: Formation = The entity was formed from other entities that have no direct analog in the COW interstate system. (For example, the United Kingdom became independent without seceding from or being colonized by the equivalent of any current COW actors)
2: Decolonization = The entity was a dependency ruled by a foreign power before achieving independence. (Note that this includes traditional colonies, protectorates, and parts of empires, as well as any other entities that were ruled by a foreign power or that were part of an entity that was not in the COW system.)
3: Secession = The entity was part of another state before achieving independence, with the original state surviving in reduced form. (Note that seceding from a colonial empire or other entity that isn't part of the COW interstate should be coded as decolonization; secession only refers to leaving a COW system member that remains in the system afterward, as with Eritrea leaving Ethiopia, or with most of the former republics leaving the Soviet Union or Yugoslavia while Russia or Serbia remained.)

4: Partition = The entity was partitioned out of another state as it achieved independence, with the original state not surviving. (Note that seceding from a colonial empire or other entity that isn't part of the COW interstate should be coded as decolonization; partition only refers to leaving a COW system member that does not remain in the system afterward, as with the former Czechoslovakia.)
• This is adapted from a typology used by the COW Territorial Change data set, excluding some types of changes that are not relevant to independence (such as conquest or peaceful cession).

SecFrom: Entity from Which State Seceded
• The COW country code for the state from which this state seceded after independence. This variable is coded as missing where the state did not secede from a COW system member.
• Note that secession means that this state was an integral part of the state from which secession occurred; this is different from decolonization, where the new state was ruled as a colony or other dependency of the state from which independence was achieved.

SecDate: Date of Secession
• The date on which this state seceded. This takes the form YYYYMM, where the month is coded as 00 if ICOW does not currently have an estimated month when the state took its current form.

SecViol: Violent Secession?
1: Yes = The secession occurred through organized violence.
0: No = The secession did not involve organized violence.
• A secession process is considered violent if it occurred through armed revolt by the entity, or if it occurred through armed conflict between the former ruler and another state (as when the entity in question is conquered or freed by a foreign power, or when it changed hands as part of a treaty ending a war).

Into: Entity into which State Merged
• The COW country code for a state that absorbed this state after independence. This variable is coded as missing where the state did not merge into a COW system member.

IntoDate: Date of Merger into Other Entity
• The date on which this state merged into the other entity. This takes the form YYYYMM, where the month is coded as 00 if ICOW does not currently have an estimated month when the state took its current form.

COWsys: COW Interstate System Entry
• The date on which this state entered the COW interstate system (according to system list 2004.1).

GWsys: Gleditsch & Ward System Entry
• The date on which this state entered the Gleditsch & Ward interstate system (obtained from Kristian Gleditsch's web site, as updated through the end of 2002).

Notes: Notes about Colonial History or Independence
• This section includes notes about different codings from different data sets, as well as brief interruptions in system membership that do not justify coding a new independence afterward.

Sources Consulted

General Sources

Gideon Biger (1995), *Encyclopedia of World Boundaries*

CIA World Factbook

CLGW: *Columbia-Lippincott Gazetteer of the World* (1962)

COW Interstate System Membership List

COW Territorial Change data set

CS: Federal Research Division, Library of Congress: *Country Studies*, various
http://lcweb2.loc.gov/frd/cs/cshome.html

Gleditsch & Ward: Kristian Gleditsch and Michael Ward's alternative interstate system membership list (and associated documentation)

IGE: *International Geographic Encyclopedia and Atlas* (1979)

League of Nations Membership: compiled by the University of Miami library from Encyclopedia Americana (consulted in January 2006):
http://www.library.miami.edu/gov/League.html

Lippincott's Pronouncing Gazetteer of the World (1880)

MWGD: *Merriam-Webster's Geogaphical Dictionary* (1997)

NYT: *New York Times*, various

Polity 2 data set

Rulers: <Rulers.org>

Bruce M. Russett, J. David Singer, and Melvin Small (1968). "National Political Units in the Twentieth Century: A Standardized List" *American Political Science Review* 62, 3 (September): 932-951.

J. David Singer and Melvin Small (1966). "The Composition and Status Ordering of the International System: 1815-1940." *World Politics* 18, 2. (January): 236-282.

Peter N. Stearns, ed. (2001). *The Encyclopedia of World History*, 6th edition. Boston: Houghton Mifflin.

United Nations List of Member States:
http://www.un.org/Overview/unmember.html

U.S. Department of State, Fact Sheet: Dependencies and Areas of Special Sovereignty (updated 26 March 2004, consulted in January 2006):
http://www.state.gov/s/inr/rls/10543.htm

Wikipedia: <http://en.wikipedia.org>

World Statesmen: <WorldStatesmen.org>

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Leslie Bethell, ed. (1987). *The Independence of Latin America*. Cambridge: Cambridge University Press.

David Brewer (2001). *The Greek War of Independence*. New York: Overlook Press.

A. Curtis Wilgus (1941). *The Development of Hispanic America*. New York: Farrar & Rinehart.