

Risk Analysis and State Fragility: Opportunities, Challenges and Implications for Foreign Policy

**National Defense University
Washington, DC
July 28-29, 2008**

1. Motivation and research agenda
2. Concepts and operationalization
3. Research design
4. Policy implications

CIFP approach

- Fragility and failure as analytically distinct
 - States become fragile and fail for different reasons
- Conflict is a symptom, not a cause, of fragility
 - Not all fragile states experience conflict

Overall Project Goals

- To provide decision-support tools for desk officers;
- To provide strategic and operational guidance for policy makers;
- To integrate problem-centred analysis into whole-of-government policy-making; and
- To develop a network of research and policy capabilities across Canada;
- Evidence-based analysis of fragility in specific countries;
- Contribute to a better understanding of fragility processes in selected countries;
- Provide decision-support to policy-makers in development, defence and diplomacy.

Effective policy on fragile states requires a solid analytic base that:

- Identifies the relative risks that each state faces internally and poses externally;
- Combines real time dynamic analysis with structural information;
- Provides policy relevant diagnosis;
- Matches the analysis to the operational capacity of the end user; and
- Provides an evaluative framework for assessing policy impact.

Methodologies:

- **Multi-source data**
 - Expert and field surveys and research
 - Event monitoring/dynamic data analysis
 - Structural comparative risk assessment
- Intensive research oriented focus
- Comparative case-study structure

Methodology Project Inputs

Country Indicators for Foreign Policy

Structural data

Baseline assessment

Relative ranking

Event-based data

Field officer and expert surveys

Allied, IO, NGO, private sector,
and media reports

Evaluative Framework

Qualitative Assessment

Survey data

Expert opinion

Structured analogy

Iterative Delphi technique

cifp

Methodology

Analysis and Output

Country Indicators for Foreign Policy

cifp

NPSIA

Carleton
UNIVERSITY

Data analysis

Structural governance score
Event trend-lines
Survey data
Base-line Assessment

Policy Evaluation

Identify available options
Demand-driven impact assessment

Analysis

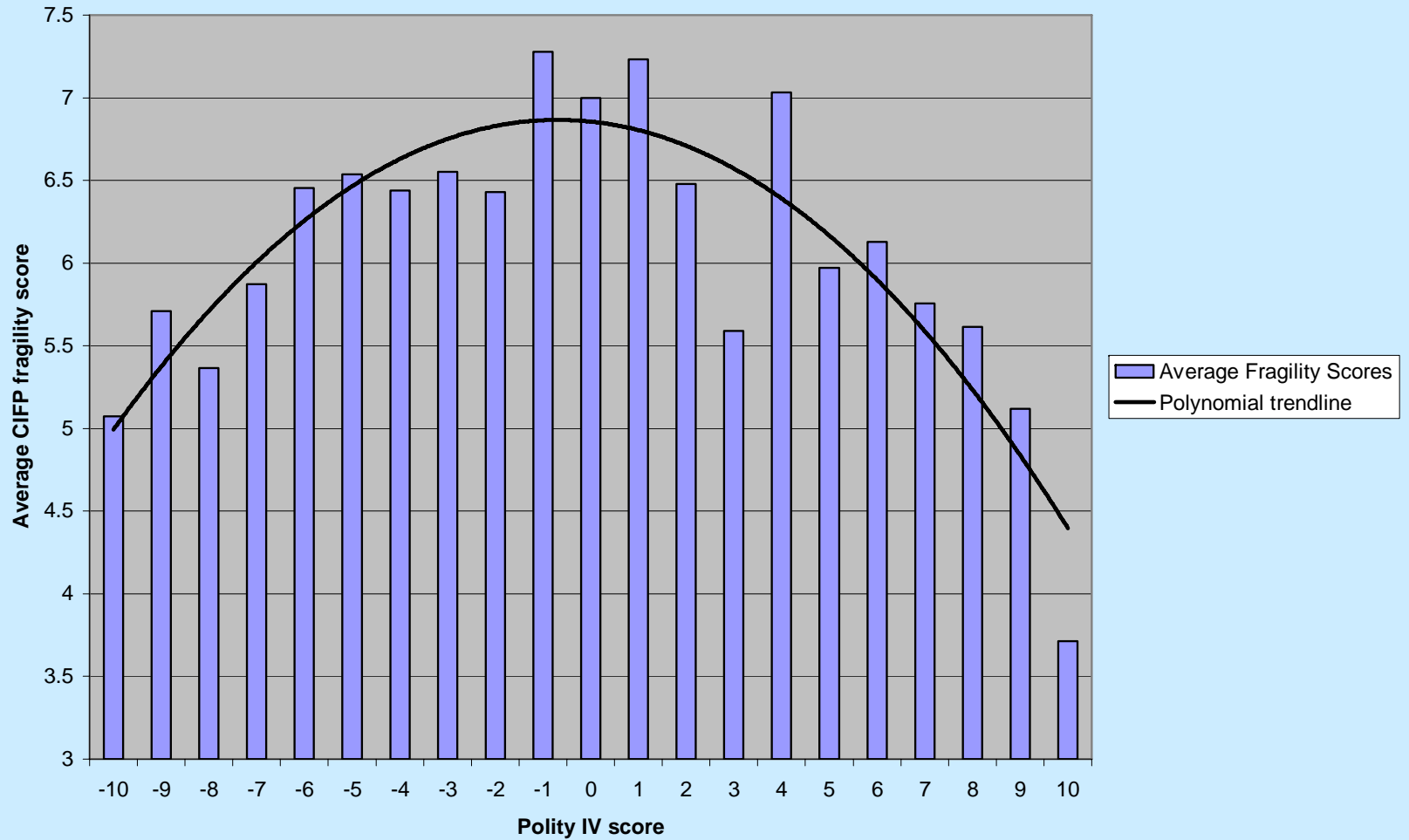


Net Assessment

Quantitative and qualitative trend analysis
Drivers of change
Scenarios

Systemic and sectoral analysis
Stakeholders
Implications for policy

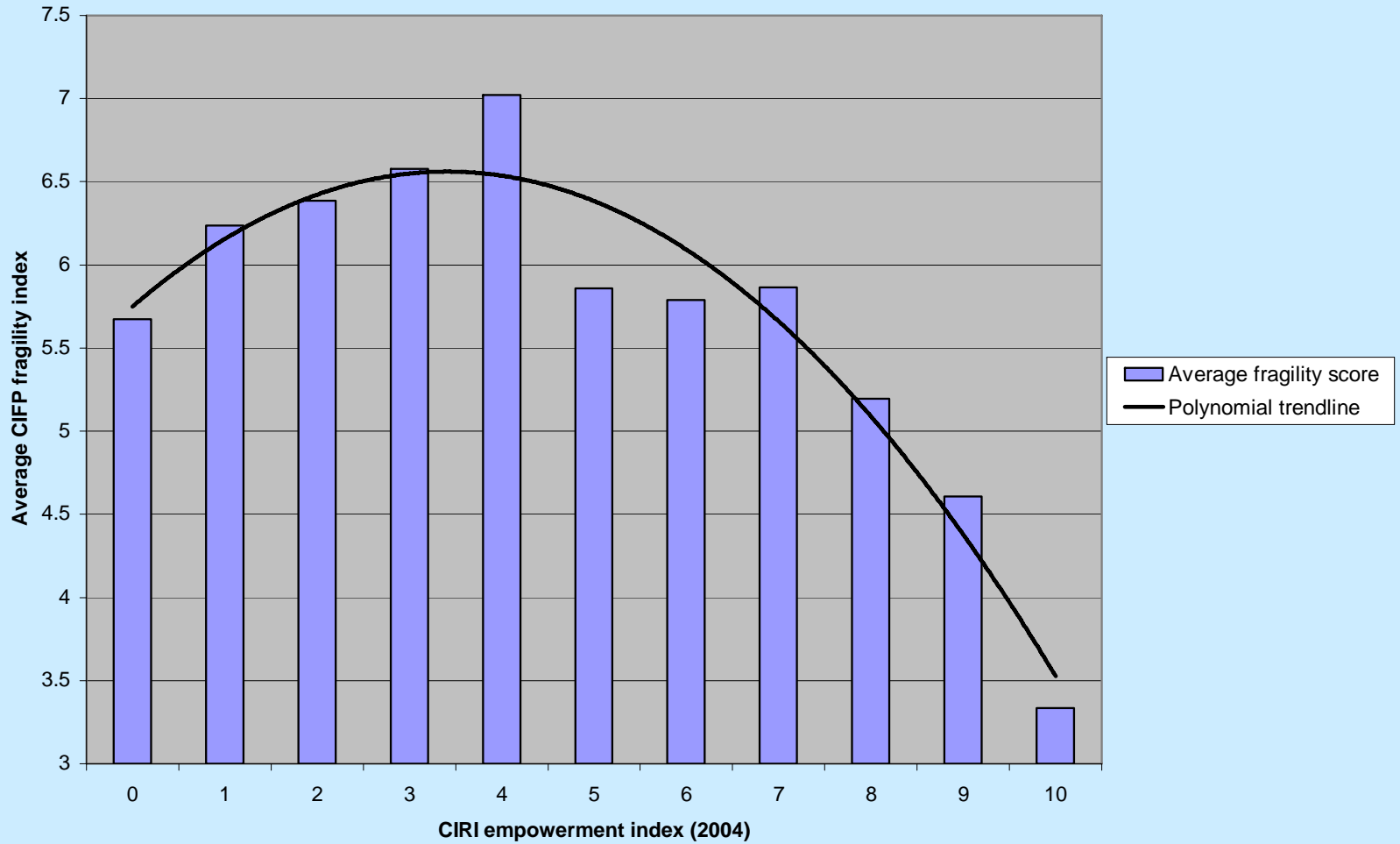
Outputs



Initial Findings

Country Indicators for Foreign Policy

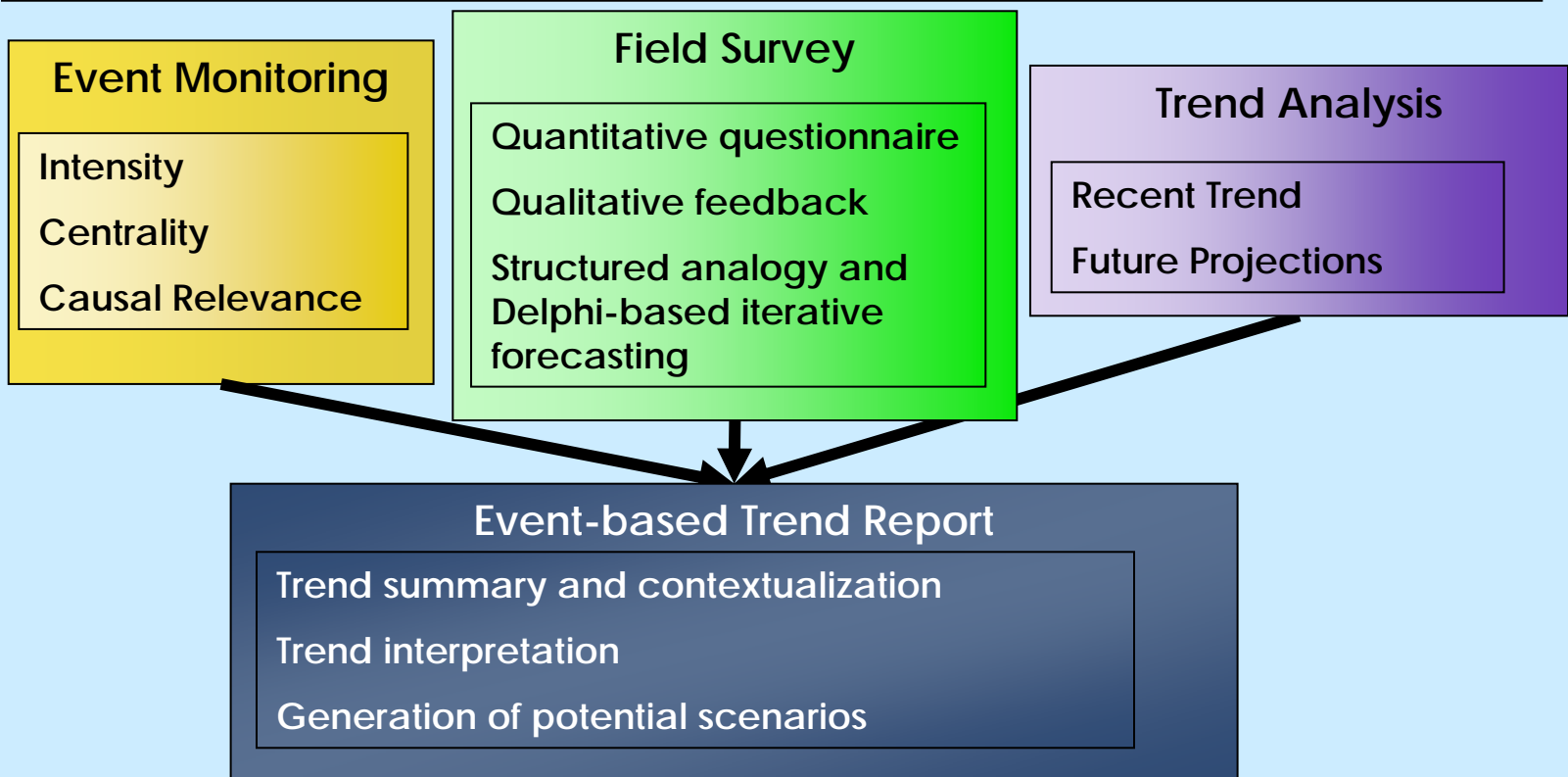
Relation of Human Rights to Fragility -- CIRI Empowerment Index



Dynamic Data Analysis

Qualitative and Quantitative Inputs

In addition to a structural assessment for all countries, CIFP performs an event-based trend analysis for potentially fragile states. Data sources are varied, including both qualitative input from officers in the field and quantitative event monitoring.



Microsoft Access - [Event Database]

File Edit View Format Database Tools Window Help

Microsoft Access Database Engine 2007 Objects

Home

Haiti Events

Export to Excel Events data Open Report New Event "Type" details Filter by Sign: [v] Show all

Transition tools Copy Event Delete Event

Date: 2008-01-01

Sign: [v] Casualty: [2] Escalation: [1] Contingency: [2]

Stakeholders:

1. Preval's government
2. Aristide and the Lavalas party
3. Haitian gang leaders
4. Haitian population
5. MINUSTAH
6. Neighbouring states
7. Haitian Diaspora
8. International community

Finished: [v]

Event: Foreign Affairs Minister and Minister of the Atlantic Canada Opportunities Agency Peter Mackay today announced \$15 million in new funding to help strengthen democratic institutions in Haiti.

Composite Indicators: CA+CE+ES [View Composite Indicator](#)

Classifications: [Add Classifier](#)

1. Political Stability and violence
2. Rule of Law
3. Human Rights
4. Government accountability and transparency
5. Democratic Participation

Type:

1. Consent
2. Discard
3. Extend Duration
4. **Event**
5. Assist
6. Comment
7. Economic
8. Human Dearthliness
9. Natural Disaster/Animal Incident
10. Government Activity
11. War
12. Other
13. Complaint
14. Challenge
15. Deny
16. Inflict Harm

Keywords List:

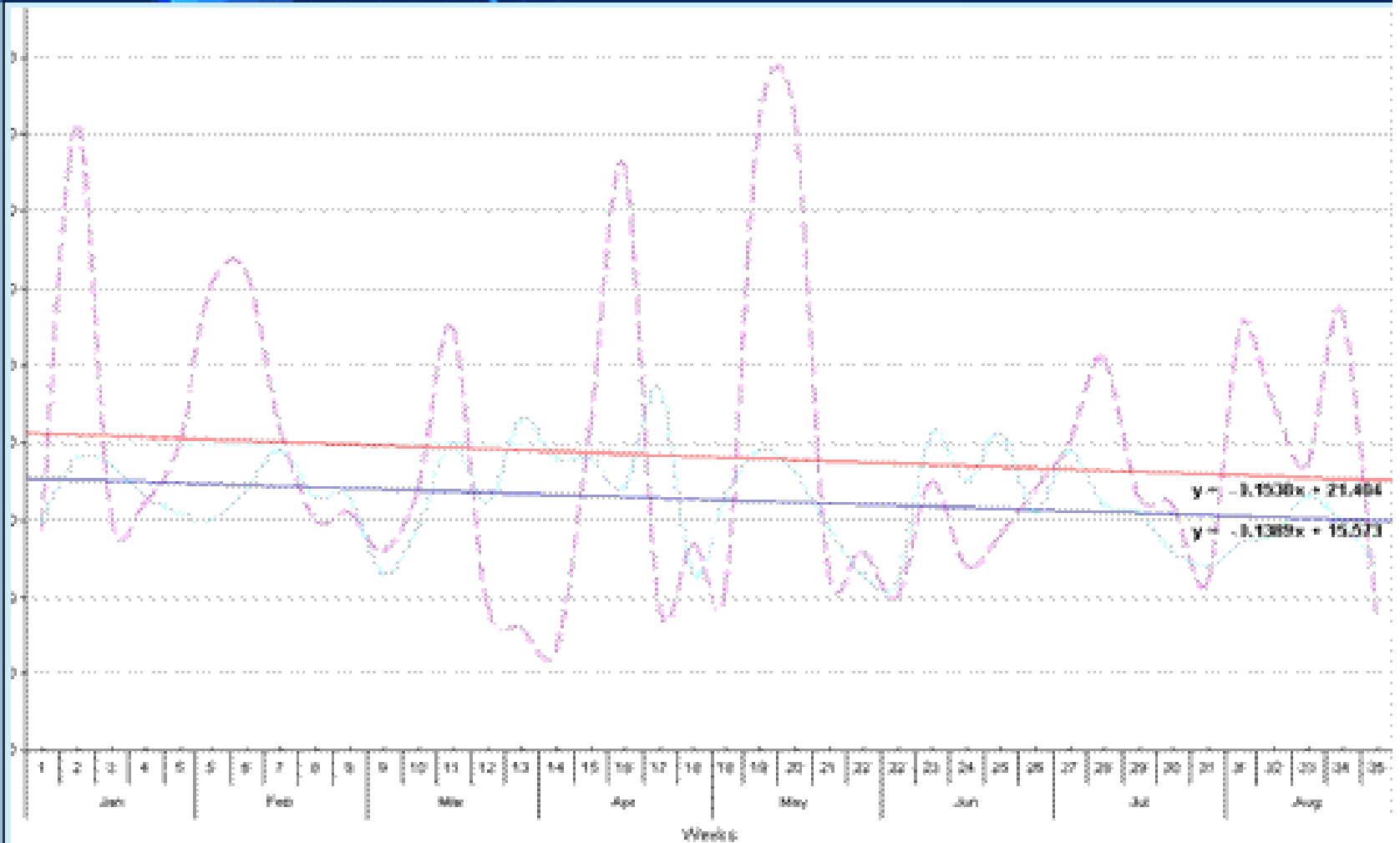
- Kidnapping
- Foreigner
- Foreign aid
- International linkages
- Gang
- Violence
- MINUSTAH
- Corruption

Comments:

Search: [v] Refresh

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Record: [1] of [1] Page: [1] of [1]



Existing approaches to fragility

- Three streams in current literature
 - Development
 - World Bank, DFID, CIDA etc
 - Conflict
 - Agenda for Peace, Carnegie Commission, Fund for Peace, International Crisis Behaviour etc
 - Stability
 - Political Instability Task Force, Goldstone et al, Polity IV etc

Existing approaches to fragility

- Dependent variables defined in terms of failure
 - Usually as a violent end state or low capacity
- Limited ability to anticipate earlier turning points

- Fundamental components of “stateness”
 - Authority
 - Legitimacy
 - Capacity
- Fragility connotes potential (dispositional property) involving all three components

Fragile states lack:

the *functional authority* to provide basic security within their borders;

the *institutional capacity* to provide basic social needs for their populations;

and/or the *political legitimacy* to effectively represent their citizens at home and abroad.

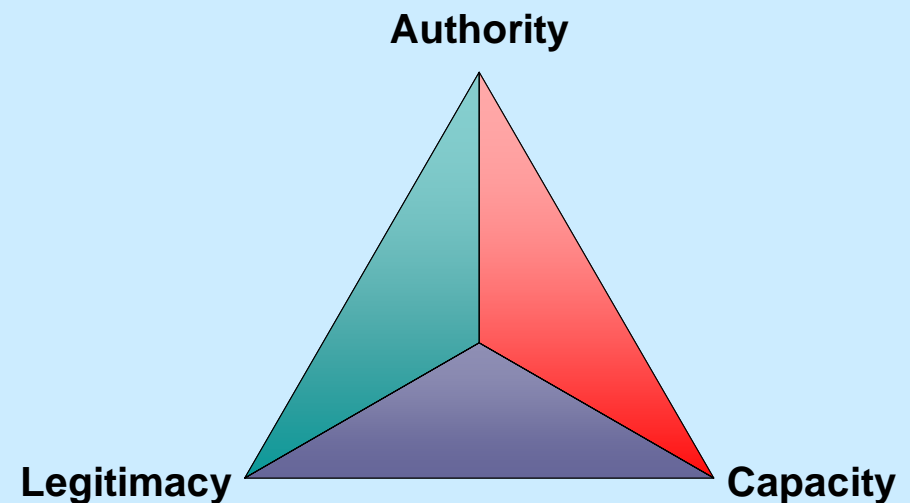


Table 1 Pakistan Fragility Rankings	Cluster avg.	Fragility index score	Fragility index rank	Raw Data – Five year avg	Trend Score
<i>STRUCTURAL DATA (SOURCE AND SCALE OF RAW DATA IN PARENTHESES) 2007</i>					
1. Governance	6.74				
Freedom of the Press (FH, index, 0-100)		6.0	73	59.2	s.q.
Gov't Effectiveness (WB Governance Matters, index, Deviation from mean)		6.1	70	-0.5	*
Level of Corruption (TI, index, 0-10)		7.9	27	2.3	neg
Level of Democracy (Polity IV, index, (-10 - 10))		7.6	29	-5.4	pos
Level of participation in international political organizations (CIFP)		5.8	68	7.0	*
Percentage of Female Parliamentarians, index, (WB WDI)		2.6	154	21.8	*
Permanence of Regime Type (Polity IV, years since regime change)		7.8	25	3.0	s.q.
Refugees hosted (UNHCR, total)		9.0	1	1319167.8	pos
Restrictions on Civil Liberties (FH, index, 1-7)		6.5	35	5.0	s.q.
Restrictions on Political Rights (FH, index, 1-7)		6.9	23	6.0	s.q.
Rule of Law (WB GM, Deviation from mean)		6.8	53	-0.8	*
Voice and Accountability in Decision-making (WB GM, Dev. from mean)		7.8	29	-1.2	*
2. Economics	5.47				
Economic growth — Percentage of GDP (WB WDI)		4.0	125	4.8	pos
Economic Size — Relative (WB WDI, GDP per capita, constant 2000 US\$)		6.9	47	553.3	s.q.
Economic Size — Total (WB WD, GDP, constant 2000 US\$)		3.0	136	8.23E+10	pos
External Debt — percentage of GNI (WB WDI)		3.4	92	35.3	*
FDI — percentage of GDP (WB WDI)		2.8	141	0.8	s.q.
Foreign Aid — percent of Central Government Expenditures (WB WDI)		6.5	25	11.6	s.q.
Foreign Aid — Total per capita (WB WDI)		3.0	126	10.0	s.q.
Inequality — GINI Coefficient (WB WDI)		2.3	101	30.6	*
Inflation (WB WDI)		5.8	58	5.2	neg

Informal Economy — Black Market (Heritage Fund, Index, 1-5)	5.2	44	4.0	s.q.
Informal Economy — Ratio of PPP to GDP (WB WDI)	6.3	55	3.6	pos
Infrastructure — Reliability of Electricity Supply (WB, % output lost)	8.2	12	25.7	s.q.
Infrastructure — Telephone mainlines per 1000 inhabitants (WB)	7.0	49	25.4	s.q.
Infrastructure — Internet Usage per 1000 inhabitants (WB)	7.3	40	7.3	s.q.
Investment Climate — Contract Regulation (Heritage Foundation, Index, 1-5)	2.7	85	3.2	pos
Level of participation in international economic organizations (CIFP)	8.0	24	2.0	*
Paying Taxes (WB Doing Business, global rank)	7.4	32	141.5	*
Regulatory Quality (WB GM, deviation from mean)	7.2	42	-0.8	*
Remittances Received — percentage of GDP (WB)	6.3	52	0.0	neg
Reserve Holdings — Total (WB)	3.4	121	9.33E+09	s.q.
Trade Balance — percentage of GDP (WB)	3.1	112	2.3	s.q.
Trade Openness — percentage of GDP (WB)	8.8	5	32.2	s.q.
Unemployment — Total (WB)	3.9	60	6.9	neg
Percentage of Women in the Labour Force (WB)	8.5	13	26.2	pos
3. Security & Crime	7.44			
Conflict intensity (Uppasala PRIO, number of conflict-related deaths)	1.0	35	0.0	*
Dependence on External Military Support (FFP, Index, 1-10)	8.1	12	8.9	*
Human Rights — Empowerment (CIRI, Index, 0-10)	8.0	29	2.0	s.q.
Human Rights — Physical Integrity (CIRI, Index, 0-8)	8.5	14	1.6	s.q.
Military Expenditure — percentage of GDP (WDI)	7.5	21	3.8	s.q.
Political Stability (WB GM, deviation from mean)	8.3	15	-1.6	*
Refugees Produced (WB, total)	6.9	34	19191.6	neg
Risk of ethnic Rebellion (CIFP, based on MaR dataset)	8.7	5	13.0	*
Terrorism -- Number of fatalities (US NCTC, number of fatalities)	8.7	6	306.5	*
Terrorism -- Number of Incidents (US NCTC, number of incidents)	8.7	7	294.5	*

4. Human Development	6.15				
Access to Improved Water (WB, percent of the population)	4.7	94	91.0	*	
Access to Sanitation (WB, percent of the population)	5.9	65	59.0	*	
Education — Primary Completion — female (WB, percent)	
Education — Primary Completion — total (WB, percent)	
Education — Primary Enrolment — total (WB, percent)	
Education — Primary Enrolment — Ratio Female to Male (WB)	8.8	5	69.8	pos	
Food Security — Aid as percentage of total consumption (FAO STAT)	5.0	64	0.8	*	
Gender Empowerment Measure (UNDP, index, 0-1)	8.0	10	0.4	*	
Gender-related Development Index (UNDP, index, 0-1)	7.4	30	0.5	pos	
Health Infrastructure — Expenditures as a percentage of GDP (WB)	8.6	11	2.8	neg	
HIV/AIDS — New AIDS Cases Reported (UN, total)	3.8	65	16.4	*	
HIV/AIDS — Percent of Adult Females Infected (WB)	1.3	107	15.0	*	
HIV/AIDS — Percent of Adult population infected (WB)	1.3	143	0.1	*	
Human Development Index (UNDP, index 0-1)	7.3	40	0.5	pos	
Infant Mortality (WB, per 1000 live births)	7.7	29	82.6	*	
Literacy (WB, percent of population age 15 and above)	8.2	13	49.9	*	
Literacy — female (WB, percent of female population age 15 and above)	8.2	11	36.0	*	
5. Demography	6.62				
Life Expectancy — Female (WB)	6.5	58	65.2	*	
Life Expectancy — Total (WB)	6.3	66	64.2	*	
Migration — Estimated Net Rate (UN)	7.4	38	-2.4	*	
Population Density (WB, population per square km)	7.6	35	192.7	neg	
Population Diversity — Ethnic (CIFP)	
Population Diversity — Religious (CIFP)	4.9	81	0.4	*	

Population Growth (WB, annual percent)	7.5	34	2.4	s.q.
Slum Population — proportion of population (WDI, UN)	5.8	41	0.3	*
Urban Growth Rate — Annual percent (WB)	7.1	46	3.5	s.q.
Youth Bulge — Percent aged 0-14 of total population (WB)	6.4	59	39.5	pos
6. Environment	5.64			
Arable/fertile land availability (WB, hectares per person)	5.5	86	0.1	s.q.
Consumption — Commercial energy consumption per capita (UN, kg of oil equivalent)	3.4	127	284.3	s.q.
Consumption — Use of solid fuels (UN, percent of population using)	6.7	48	72.0	*
Disaster Risk Index, (UNDP, average number of deaths per million)	6.3	58	2.6	*
Ecological Footprint — Global hectares per capita (WWF, Global Footprint Network)	1.3	144	0.6	*
Water — Annual withdrawal (FAO STAT, percent of total renewable)	8.2	16	76.1	*
Water — Available renewable per capita (FAO STAT, m ³ /inhabitants/year)	7.5	34	1433.5	*
Forest — Annual percent change in area (FAO)	8.5	10	-2.1	*
Pollution — CO ₂ emissions per capita (WB, metric tons per capita)	3.4	126	0.8	s.q.
Pollution — CO ₂ emissions per dollar PPP (WB, kg per 2000 US\$ PPP)	5.6	71	0.4	s.q.
TOTAL	6.18			

Fragile States Index 2007

June 2007

Country	Index Score	Index Rank	Country	Index Score	Index Rank	Country	Index Score	Index Rank	Country	Index Score	Index Rank
Afghanistan	6.86	1	Tanzania	5.73	48	Kazakhstan	4.95	95	Dominica	3.92	142
Sudan	6.86	2	Mali	5.70	49	El Salvador	4.95	96	Saint Kitts & Nevis	3.91	143
Burundi	6.77	3	Senegal	5.66	50	Libya	4.93	97	Greece	3.88	144
Somalia	6.77	4	Zambia	5.65	51	Peru	4.92	98	Mauritius	3.87	145
DRC	6.61	5	Guatemala	5.64	52	Ukraine	4.92	99	Costa Rica	3.87	146
Iraq	6.54	6	Papua New Guinea	5.60	53	Maldives	4.90	100	Poland	3.86	147
Haiti	6.53	7	Sao Tome and Principe	5.59	54	Paraguay	4.86	101	Latvia	3.83	148
Yemen, Rep.	6.51	8	Uzbekistan	5.55	55	Jordan	4.86	102	Bahamas	3.83	149
Liberia	6.49	9	Mozambique	5.51	56	Tonga	4.84	103	Slovakia	3.75	150
Ethiopia	6.48	10	Georgia	5.51	57	Jamaica	4.82	104	Korea, South	3.75	151
Eritrea	6.41	11	Madagascar	5.50	58	Macedonia	4.81	105	Estonia	3.72	152
Angola	6.40	12	Solomon Islands	5.50	59	Cape Verde	4.80	106	Chile	3.71	153
Cote d'Ivoire	6.40	13	Ghana	5.50	60	South Africa	4.79	107	Cyprus	3.69	154
Chad	6.37	14	Timor-Leste	5.49	61	Micronesia	4.77	108	Hungary	3.69	155
Nigeria	6.37	15	Indonesia	5.48	62	Cuba	4.75	109	Uruguay	3.68	156
Palestinian Terr.	6.35	16	Azerbaijan	5.46	63	Namibia	4.74	110	Italy	3.67	157
Sierra Leone	6.34	17	Honduras	5.45	64	Albania	4.73	111	Spain	3.61	158
Guinea	6.26	18	Kyrgyzstan	5.43	65	Qatar	4.66	112	Singapore	3.60	159
Nepal	6.23	19	Lebanon	5.43	66	Mexico	4.66	113	Czech Republic	3.55	160
Pakistan	6.22	20	Bhutan	5.42	67	Belize	4.65	114	France	3.53	161
Guinea-Bissau	6.22	21	Nicaragua	5.40	68	Brazil	4.64	115	United States	3.51	162
Central African Republic	6.22	22	Algeria	5.36	69	Samoa	4.62	116	Malta	3.50	163
Uganda	6.20	23	Lesotho	5.35	70	Fiji	4.62	117	Lithuania	3.49	164
Mauritania	6.18	24	Syria	5.34	71	Tunisia	4.62	118	Portugal	3.49	165
Equatorial Guinea	6.17	25	Sri Lanka	5.34	72	Thailand	4.59	119	United Kingdom	3.46	166
Togo	6.17	26	Egypt	5.32	73	Kiribati	4.55	120	Barbados	3.32	167
Kenya	6.12	27	Serbia and Montenegro	5.27	74	Saint Vincent and the Grenadines	4.54	121	Netherlands	3.32	168
Congo, Rep.	6.11	28	Colombia	5.26	75	UAE	4.50	122	Belgium	3.29	169
Djibouti	6.08	29	Saudi Arabia	5.25	76	Oman	4.49	123	Japan	3.27	170

ALC Top 40 Rankings

Country	Authority Index Score	Authority Index Rank	Country	Legitimacy Index Score	Legitimacy Index Rank	Country	Capacity Index Score	Capacity Index Rank
Sudan	7.20	1	Saudi Arabia	7.41	1	Burundi	7.08	1
Afghanistan	7.01	2	Libya	7.17	2	Afghanistan	7.04	2
Iraq	6.96	3	Korea, North	7.14	3	Ethiopia	7.04	3
DRC	6.91	4	Yemen, Rep.	7.06	4	Niger	6.96	4
Palestinian Terr.	6.79	5	Somalia	7.00	5	Sierra Leone	6.95	5
Burundi	6.77	6	Iraq	6.96	6	Djibouti	6.95	6
Cote d'Ivoire	6.76	7	UAE	6.92	7	Mauritania	6.87	7
Angola	6.75	8	Turkmenistan	6.89	8	Sudan	6.85	8
Nigeria	6.70	9	Equatorial Guinea	6.79	9	Eritrea	6.83	9
Somalia	6.62	10	Iran	6.76	10	Burkina Faso	6.83	10
Liberia	6.59	11	Syria	6.70	11	Mali	6.83	11
Haiti	6.58	12	Belarus	6.67	12	Haiti	6.80	12
Myanmar (Burma)	6.43	13	Uzbekistan	6.66	13	Mozambique	6.80	13
Nepal	6.42	14	Qatar	6.66	14	Somalia	6.75	14
Pakistan	6.32	15	Palestinian Terr.	6.60	15	Benin	6.74	15
Guinea-Bissau	6.31	16	Lebanon	6.57	16	Chad	6.73	16
Indonesia	6.27	17	Bahrain	6.51	17	Sao Tome and Principe	6.70	17
Iran	6.25	18	Egypt	6.48	18	Zambia	6.69	18
Ethiopia	6.22	19	Eritrea	6.47	19	Yemen, Rep.	6.68	19
Central African Republic	6.17	20	Zimbabwe	6.46	20	Guinea	6.68	20

Policy Implications

By identifying the aspects of fragility that are associated with Authority, Legitimacy and Capacity, policies can be better targeted to structural weaknesses than we expect to result in conflict and conflict-related state failure analysis